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ABSTRACT

University administration, faculty composition and organization, professional affairs of the faculty, faculty compensation and benefits, student-faculty affairs, and university libraries, resources and services, and publications are described in the 1972 Duke University handbook. Faculty-related policies and procedures are presented with regard to: appointment and advancement, tenure and academic freedom, resignation and retirement, leaves, grant funding, research, selection of department chairmen, conflicts of interest, fringe benefits, academic standards, examinations, grading, counseling and advising students, and teacher-course evaluation. Eleven appendices are also included dealing with bylaws, academic freedom, patents, travel, and other policies. (LBH)

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FACULTY HANDBOOK

U S DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

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DUKE UNIVERSITY
1972

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FOREWORD

Professor Frank T. de Vyver who was responsible for the first two editions of this handbook has acted as editor of the third edition.

Noting the speed with which changes are made in structure and administrative details we decided to publish this edition in loose-leaf form so that amendments can be made in the handbook as they occur. Corrected pages will be sent out from time to time so that the book may be kept up to date.

We repeat the invitation contained in the foreword of earlier editions. Faculty members are urged to send me suggestions so that needed changes may be made.

Frederick C. Joerg

January, 1972

THE UNIVERSITY

GENERAL ADMINISTRATION

Administrative Officers. A complete description of the responsibilities and duties of the Trustees and administrative officers of the University is given in Articles II-XVI of the bylaws (see Appendix I of this handbook). The formal organization of the University is shown in Figures 1, 2, and 3. However, the functions of the Trustees and officers are described briefly below.

The Board of Trustees. The Board consists of thirty-six members and as a group has vested in it the final authority for operation of the University. It regularly meets three times a year but may call special meetings. Its Executive Committee, which acts for the Board between meetings, normally convenes every four to six weeks.

The Board elects from its membership a chairman and vice chairman, and organizes itself into both standing and *ad hoc* committees. The former include the Executive Committee, the Business and Finance Committee, the Building and Grounds Committee, the Committee for Institutional Advancement, and the Academic Affairs Committee. Both standing committees and *ad hoc* committees may undertake other such functions as delegated to them by the Trustees. However, in all cases, the powers and duties of committees are subject to the direction and approval of the Board.

President. As chief educational and administrative officer of the University, the President is responsible to the Board of Trustees for the supervision, management, and government of the University, and for interpreting and carrying out the policies of the Board. He, or someone designated by him, presides at meetings of the University faculty, and under the bylaws, the President, after giving his reasons, may overrule the decisions of the faculty. He is also responsible for recommending to the Trustees persons to hold the other offices of the University.

Chancellor. The Chancellor fulfills the responsibilities of the President in his absence and serves as an executive vice-president when he is present. The Provost and the Vice Presidents of the University report directly to the President, or may report through the Chancellor who has the specific duties of coordinating their activities, proposing the budget and allocations therein, recommending building and renovation programs, and establishing and supervising the internal operating policies of the University.

Provost. As chief educational officer, the Provost acts for the Chancellor in his absence and has authority and responsibility, under the Chancellor, for both educational and student affairs.

The Vice Chancellor for Public Policy Education and Research. Reporting to the Chancellor, this administrative officer is Director of the Institute for Policy Science and Public Affairs.

Vice President for Business and Finance. The Vice President for Business and Finance is the chief fiscal officer. He is responsible for fiscal planning, preparation of the budget, and supervision of the University's nonacademic operations. Ordinarily he is the officer responsible for signing formal requests for grants and contracts from government agencies and foundations.

Vice President and Treasurer. The Treasurer has the responsibility for receiving and disbursing funds, and under the direction of the Trustees, for buying and selling securities.

Vice President for Health Affairs. As chief executive officer in the area of medical affairs under the Chancellor, the Vice President for Health Affairs is responsible for the operation of the Medical Center. Reporting to him are the Director of Medical Education, the Dean of the Nursing School, the Director of Duke Hospital, the Director of the Program of Hospital Administration, the departmental chairmen, the Assistant Vice President for Business and Finance, and the Assistant Vice President for Health Affairs, Planning and Analysis. For academic affairs in the health area, the Vice President for Health Affairs is responsible to the Provost.

Vice President for Institutional Advancement. An executive officer under the President, this officer is responsible for all public and alumni relations, fund raising, and long-range planning and development.

Secretary. Under the direction of the President, the Secretary maintains the official records of the University. He is also secretary of the Board of Trustees and of the general faculty.

The University Counsel. The University Counsel is the chief legal adviser of the University.

The Provost Group. Reporting directly to the Provost are four Vice Provosts, the Registrar, and the Coordinator for Institutional Data Processing. These officers are charged as follows:

Reporting to the Vice Provost and Dean of Faculty are the Deans of the Graduate School of Business Administration, the Divinity, Engineering, Forestry, and Law Schools; the Director of the Summer School; and the chairmen of the arts and sciences departments. He is assisted by an Assistant Provost for Academic Administration.

The Vice Provost and Dean of Undergraduate Education has general responsibility for undergraduate education. Reporting to him are the Deans of Trinity College, the Woman's College, and Student Affairs. Also reporting to him are the Directors of Undergraduate Admissions, Undergraduate Financial Aid, the Counseling Center, and the Adviser to Black Students.

In addition to his responsibility for international programs, the Vice Provost and Director of International Programs has reporting to him the University Librarian and the Director of Duke Press.

The Dean of the Graduate School is also a vice provost and has responsibility under the Provost for the administration of graduate education and the surveillance of sponsored research. He works closely with the Dean of Faculty and advises on the selection of the graduate faculty.

The Registrar prepares diplomas and maintains all student academic records, including official transcripts.

Assistant to the President. Reporting directly to the President, the assistant to the president acts as a liaison between the President and students, faculty, administration, and community, state, and national organizations. He also represents the University at selected functions.

Some Administrative Committees. In addition to the "line and staff" organization which helps them in the general administration of the University, the President and the Chancellor have established a number of committees to provide them with advice and counsel in specific areas. Among these are the following:

The Educational Facilities Committee. Composed of five or more members of the faculty and administration and two students, this committee advises both the President and the Chancellor when new or renovated facilities are required. It also serves as the Space Allocation Committee and, in this capacity, makes recommendations directly to the Chancellor. The committee meets weekly or on call.

The Committee on Educational Administration. This group consists of all the academic deans and the principal administrative officers in the educational division of the University. Under the chairmanship of the Provost, the committee meets monthly to discuss educational issues.

EDUCATIONAL ADMINISTRATION

Schools. Each of the professional schools—Divinity, Forestry, Law, Engineering, Nursing, and Business Administration—is administered by a dean and his staff in conjunction with its faculty. These schools hold regular faculty meetings and are responsible for their curriculum and for the admission of students. They also recommend the awarding of degrees in their respective schools. Undergraduate students in nursing and engineering are admitted through the office which handles undergraduate admissions.

The Director of Medical Education and the Dean of the School of Nursing report to the Vice President for Health Affairs, and the other deans report to the Vice Provost and Dean of Faculty.

The Graduate School is administered by a dean and is responsible for coordinating the graduate offerings of the various departments of arts and sciences as well as the nonprofessional degree programs of the professional schools. The faculty of the Graduate School consists of those members of the general faculty who have been approved to offer courses at the graduate level. In departments and schools where graduate degrees are offered, the Dean of the Graduate School appoints a director of graduate studies who works closely with the Graduate School and the graduate students in his area.

Colleges. Trinity College and the Woman's College are each administered by a dean who is also an assistant provost and reports to the Vice Provost and Dean of Undergraduate Education. Each of these coordinate undergraduate colleges is responsible for the academic and social affairs of its students, all of whom are undergraduates in arts and sciences. There are three federations of undergraduate residence halls: two with houses for men and women, each with a dean, who reports to the Dean of Trinity College; another federation of houses for men and women is situated on the East Campus, with a dean who reports to the Dean of the Woman's College. While the faculty and curriculum are common for the Woman's College and Trinity College and, to a large extent during the first two years, for the Engineering and Nursing Schools, a particular stress is placed upon the development of distinctive college and cocurricular activities for the various undergraduate living groups.

Departments. There are thirty-one departments in the arts and sciences and engineering. Each is administered by a department chairman who is typically assisted by a director of graduate studies and a director of undergraduate studies. Some departments also have an administrative assistant and a supervisor of freshman instruction. As previously mentioned, the director of graduate studies is appointed by the Dean of the Graduate School, and the director of undergraduate studies and the supervisor of freshman instruction are appointed by the Dean of Undergraduate Education. These appointments are made after recommendation by the department chairman.

The Chairman is the official link between an academic department and the administration of the University. In this capacity he presents departmental needs, objectives, and evaluations of achievement to the Dean of Faculty and transmits administration policy to his colleagues. He has responsibility for the departmental budget and the final responsibility within his department for space, schedule, assignments of academic and non-academic staff, and teaching loads. After appropriate consultation within the department, letters of appointment, promotion, retention, or termination are written by the Chairman with the authorization of the Dean of Faculty. In the event of substantial division of opinion in these matters, the Chairman presents summaries of all pertinent arguments for the Dean's final decision. Unless he chooses to delegate it, the Chairman also has authority for the appointment of all departmental committees, for the recommendation of appointments that come from outside the department (e.g., directors of undergraduate and graduate studies), and for departmental governance in general, consulting his departmental colleagues when appropriate.

Libraries. The University Librarian administers all libraries, with the exception of those in the Schools of Law

and Medicine, which are under the direction of the respective deans of those schools.

The Library Council, established in 1928 by action of the faculty of the University, advises the University Librarian on matters of policy, approves the proposed annual book budget and has responsibility for expenditures from the special fund for the purchase of relatively expensive or specialized research material for the Library. In addition, it advises, when requested, about expenditures for special collections and expensive research materials from endowed and other special funds. The Council is composed of nine members of the faculty appointed by the Chancellor of the University for three year terms, and two students who serve one year terms. The University Librarian is also a member and permanent secretary of the Library Council. The Council meets in September, February and May of each year and at other times on call of the Chairman.

BUSINESS AND FINANCE

The Business and Finance Division. Reporting directly to the Vice President for Business and Finance are six department heads who direct various nonacademic functions of the University.

The Controller is in charge of all accounting for the University. Reporting to him are two assistant controllers with staff responsibilities in the areas of Accounting Operations, Information Systems, Insurance, and Medical Center Accounting. Also under the Controller's direction are the Business Manager of the Duke Marine Laboratory and the University's internal audit staff.

The Business Manager is responsible for Physical Plant, Stores, Dining Halls, Materials Support, Operations, Campus Security, Program Management, Property Utilization, Typing Bureau, and Housing Management departments. The Materials Support Department includes Purchasing, Inventory Control, Salvage and Disposal, and Warehousing. The Operations Department includes the grounds and housekeeping sections and the student laundry. Housing Management is in charge of accommodations for students, and whenever possible, assists faculty members in securing off-campus housing.

The Physical Planning Department is headed by the University Architect. Reporting to him are the architectural staff, the Construction Administrator, the Interior Designer, the Scheduling Control Office, and the Space Inventory Department.

The Chief Engineer is responsible for all utility installation and maintenance, including the operation of the Duke telephone system. He also provides engineering review and advice to the Physical Planning Department on new construction and major renovations.

The Coordinator of Institutional Data Processing has direct responsibility for the Systems and Programming Section and Administrative Data Processing. He also has functional responsibility relating to planning and budgeting for Medical Center Data Processing and the University's Computation Center.

The Director of the Personnel Department has reporting to him the Directors of Employment, Wage and Salary Administration, Training, Employee Relations, and the Director of the Medical Center Personnel.

Also reporting to the Vice President for Business and Finance for policy direction are the Assistant Vice President for Health Affairs, Business and Finance (with responsibilities relating to the Duke Medical Center), and the Business Manager of the Duke Athletic Association.

Financial Structure. The University derives revenue from several sources, including The Duke Endowment, the Duke University endowment, Loyalty Funds, gifts and grants, tuition and fees, investment income, and recovery of indirect costs applicable to sponsored programs. University expenditures have been divided into nine major accounting categories.

The following table shows the percentage distribution of various forms of income and various types of expenditure from the financial reports for the University for 1970 and 1971.

Summary and Comparison of Educational and General Revenues and Expenditures, 1970 and 1971

Revenues	Per Cent of Total 1971	Per Cent of Total 1970
Endowment Income:		
Duke Endowment	5	6
Funds Held by University	3	3
	8	9
Loyalty Funds	1	1
Gifts and Grants:		
Research	16	17
Training	7	7
Special Programs	4	2
Libraries	–	–
Instruction and Departmental Research	–	1
Current Expenses	–	1
	27	28
Tuition and Fees	12	13
Investment Income	1	1
Medical and Surgical Private Diagnostic Clinics	4	4
Indirect Cost Recovery	4	4
Other Sources	1	
Related Activities:		
Duke Hospital	29	26
Highland Hospital	2	2
Sea Level Hospital	1	1
	32	29
Auxiliary Enterprises	8	8
Student Aid	2	3
	100	100
Expenditures:		
Organized Activities	1	1
Administration	4	4
Student Services	2	2
Instruction	15	16
Research Programs	15	17
Training Programs	6	7
Special Programs	5	4
Libraries	3	3
Physical Plant	4	4
	55	58
Related Activities:		
Duke Hospital	30	27
Highland Hospital	2	2
Sea Level Hospital	1	1
	33	30
Auxiliary Enterprises	8	8
Student Aid	4	4
	100	100

INSTITUTIONAL ADVANCEMENT

The Division of Institutional Advancement includes six departments which report directly to the Vice President for Institutional Advancement. These departments, each of which is described briefly below, have responsibilities for relating the interests of the University to various segments of the society in which it exists.

The Officer of Alumni Affairs administers alumni programs and conducts the Loyalty Fund Campaign.

The Office of Development is responsible for Duke's capital fund raising, foundation relations, corporate relations, bequests, trusts, and life income fund.

The Gift Records Office acknowledges all private gifts to the University and enters the gifts in the accounting system.

The Office of Placement Services is responsible for career counseling and placement and provides liaison with representatives of business, industry, government, and education for students and alumni.

The Office of Public Relations handles University publicity and information for visitors.

The Office of the University Editor handles publications, upon request, for the various departments and offices of the University.

FISCAL AND ACADEMIC YEARS

An established in the bylaws, the University's fiscal year begins on July 1 and ends on the following June 30.

The academic year begins on September 1 and ends on the following August 31. The President has the responsibility for establishing the academic calendar for each academic year and designating the day on which graduation exercises shall take place.

THE SUMMER SESSION

The Summer Session is a regular part of the academic program of the University, and the academic standards are the same as those of the fall and spring semesters. Most departments in the arts and sciences offer courses during the summer. Each school and department is responsible for selecting its courses and faculty, subject to consultation with and approval of the Director of the Summer Session.

The Session is divided into three 5-week terms. In addition to meeting the needs of degree candidates, it includes special non-credit lectures, conferences, institutes, and workshops, which may or may not coincide precisely with the designated summer terms.

ALUMNI ORGANIZATIONS

The alumni of Trinity College were first organized in 1852 with the express purposes of furthering the interests of the college and promoting its development.

The General Alumni Association. All former students of Duke and Trinity belong to this association, which is the direct descendent of the early organization of Trinity College alumni. The association meets each June and its officers are elected annually by mail ballot. Graduate members in alternate years elect four alumni Trustees of the University by mail ballot.

The Duke University National Council. The National Council comprises the executive body of the alumni organization and is the policy and planning source for alumni and alumni-related programs. Its approximately 200 members represent each undergraduate class, each local association, each of the University's faculties and student bodies, each of the individual school and college associations, and include also the officers of the General Alumni Association. There are fifteen members-at-large, elected by the Council, and a number of honorary members. The National Council meets twice annually, on Founders' Day and during Alumni Weekend in June. It seeks to "advance the welfare of the University by all appropriate means" and authorizes the solicitation of alumni for financial support.

Individual Association. Most of the University's schools and colleges have individual alumni associations, the exceptions being Trinity College and the Graduate School. The activities of these separate associations are coordinated through the National Council under the auspices of the General Alumni Association.

The Department of Alumni Affairs. This department, functioning in the division of Institutional Advancement, is the University agency charged with administering alumni programs. The Director of Alumni Affairs is the secretary ex officio of the General Alumni Association, the National Council, and the Athletic Council, and he or his representative serves also on the executive councils of each of the school and college associations. The department also conducts, under the authority of the National Council, the annual Loyalty Fund Campaign, through which unrestricted gifts are sought for support of the University's operating budget.

FACULTY COMPOSITION AND ORGANIZATION

FACULTY RANK AND RESPONSIBILITIES

As defined in the University's bylaws, the faculty consists of the President, the Chancellor, the Provost, the vice presidents, the Secretary of the University (who also serves as the secretary of the faculty), all deans, professors, associate professors, assistant professors and all other full-time members of the instructional staff who are not candidates for degrees at Duke University, the Registrar, the University Librarian, and other persons designated by the President and approved by the Executive Committee of the Board of Trustees or by the Board of Trustees. For special purposes, such as participation in faculty benefit programs or membership in the graduate faculty, the composition of the faculty may be defined differently.

The bylaws of the University also provide that:

> Each college and school in the University may have a faculty of its own, which shall be composed of the President, the Chancellor, the Provost, the Secretary, and all members of the University faculty in the particular college or school. Each such faculty shall function under the President and other officers of educational administration and subject to the regulations of the University faculty.

Rank. The conventional designations of regular, full-time members of the faculty are instructor (associate in the Medical School), assistant professor, associate professor, and professor. However, in some cases, a qualifying term such as *research, clinical,* or *adjunct* may be affixed to the instructional title to show the special nature of the appointee's duties. Visiting faculty are designated either as *lecturers* or with the term *visiting* prefixed to the conventional faculty title. Only regular full-time members of the faculty who hold appointments without a qualifying term such as *adjunct* or *clinical* are eligible to earn time toward or to hold tenure. Part-time faculty carry titles containing the phrase *part-time*. Faculty members who hold administrative positions or who hold joint appointments in more than one faculty carry both titles, as:

Vice Provost and Dean of Faculty and Professor of Physics

Associate Professor of Psychology and Associate Professor of Education

Responsibilities. The responsibilities of the faculty are defined in Article XVIII of the bylaws of the University as follows:

> The University faculty shall be responsible for the conduct of instruction and research in the various colleges and schools in the University. It may also consider and make recommendations to the President regarding any and all phases of education at the University.
>
> The University faculty shall approve and recommend to the Board of Trustees the persons it deems fit to receive degrees or other marks of distinction and the establishment of any new degree or diploma.

Meetings. The University faculty meets regularly in October and immediately prior to Commencement to approve and recommend to the Board of Trustees candidates for degrees. The faculty may meet at other times at the call of the President, the Chancellor, or the Provost, or upon the written request of the Executive Committee of the Academic Council or of fifty faculty members.

FACULTY ORGANIZATION

Academic Council. Besides defining the membership and functions of the faculty, the bylaws also state that "the University faculty may organize and exercise its functions through appropriate councils, committees, or other bodies." Therefore, in addition to transacting business through the total University faculty, as noted above, the faculty also participates in the affairs of the University through an academic council. The Academic Council consists of the President, the Chancellor, and the Provost, ex officio, and approximately sixty-eight members elected for two-year terms by their respective divisions and schools. The size of the body varies with the size of the faculty.

The Academic Council elects its own chairman, vice chairman, and secretary. Responsibility for planning the work of the council is vested in an executive committee consisting of the elected officers and four additional members elected from the membership of the council. In addition, the Executive Committee serves as a Committee on Committees for both the University faculty and the Academic Council. In that capacity, its advice is generally sought by the President and the Chancellor before making appointments to important committees of the University

faculty. The Academic Council may also create other permanent or *ad hoc* committees to deal with specific problems of interest to the faculty. Membership on these committees is not limited to members of the council.

The Bylaws of the University Faculty and the Bylaws Pertaining to the Academic Council are included in this handbook as Appendix II.

Other Faculty Groups. The other faculty groups are indicated as follows:

Undergraduate Faculty of Arts and Sciences. This faculty is composed of the President, the Chancellor, the Provost, the Secretary, the Dean of Undergraduate Education, and the members of the faculty whose Academic Council constituencies are Humanities, Social Sciences, or Natural Sciences. Also part of this faculty are members of the Graduate School of Business Administration who are included among the faculty of the Department of Management Sciences.

Undergraduate Faculty Council of Arts and Sciences. This faculty council legislates on curricular programs and academic regulations for Trinity College and the Woman's College. It adopts admissions policies for, and advises on financial aid to, students in these colleges, and considers all other matters affecting their academic life and learning environment. It seeks to develop appropriate means of encouraging and recognizing high standards of undergraduate teaching, and academic achievement among students.

Members of the Council are elected by the faculty in the departments of arts and sciences. Each department elects two representatives to the Council (except that the military training departments are each represented only by the senior officer of the department of his designated alternate). For each five (or major fraction thereof) faculty members in excess of the first five, a department elects an additional representative.

The Council normally meets each month, September through April, and at other times at the call of the Dean of Undergraduate Education or of the Council's Executive Committee, or upon written request to the Dean of ten of the Council's members. The Dean of Undergraduate Education presides at the Council's meetings and votes in the event of a tie.

Summaries of the actions of the Council are distributed to the undergraduate faculty of arts and sciences. The preliminary work of the Council is done largely by committees, most of which are composed of faculty, deans and undergraduates appointed by the Executive Committee of the Council.

The Bylaws of the Undergraduate Faculty of Arts and Sciences and the Bylaws Pertaining to the Undergraduate Faculty Council of Arts and Sciences are included in this Handbook as Appendix III.

Engineering Faculty. Regulation of the academic programs offered in the School of Engineering is exercised by its faculty, composed of the President, the Chancellor, the Provost, the Secretary, the Director of Undergraduate Admissions, all members of the University faculty in the School of Engineering, and four members of the University faculty from arts and sciences. The four representatives from arts and sciences are selected annually by the faculty of the School of Engineering—one from mathematics, one from natural sciences, one from the humanities, and one from the social sciences.

Graduate Faculty. The faculty of the Graduate School, which meets on call, depends on an elected executive committee to plan much of its work and to perform certain delegated duties. The Executive Committee consists of the Dean, and two members each from the divisions of humanities, natural sciences, biological sciences, and social sciences. Division members are elected by their respective divisions for staggered two-year terms.

Professional School Faculties. The faculties of the other schools also have internal organizations.

AAUP. A chapter of the American Association of University Professors is active on the Duke University campus.

PROFESSIONAL AFFAIRS OF THE FACULTY

APPOINTMENT

Appointments to the faculty are made by the Executive Committee of the Trustees upon proposal by the President following recommendation from the Provost.

Procedures for appointment differ slightly in the various colleges and schools of the University. In general, however, a new appointment is recommended by the department or the school, through the chairman of the department or dean of the school, to the Vice Provost and Dean of Faculty. The Vice Provost has the authority to approve the request for submission to the Provost and the Trustees. Medical and Nursing School appointments are recommended to the Provost by the Vice President for Health Affairs. The letter making the offer of appointment contains the conditions of the appointment, and is prepared by the chairman or dean and then approved by the Dean of the Faculty or, in the case of Nursing and Medicine, by the Vice President for Health Affairs.

Appointments to the rank of instructor (associate in the Medical School) are generally for one year subject to renewal. Appointments to the rank of assistant professor are usually made for a three-year period, subject to renewal at the end of that period. Full professors are usually recommended for tenure to the Trustees. Associate Professors appointed from outside the University may be appointed for a stated term or with tenure, as recommended by the Department or School and approved by the Dean of the Faculty or the Vice President for Health Affairs.

Part-time faculty, instructional assistants, tutors in the English Department, and lecturers are usually appointed for one year.

It is the policy of the University to base appointments upon expected potential (or for the higher ranks, upon proven ability) for teaching, and research and publication.

ADVANCEMENT

Promotions from instructor to assistant professor are generally fulfillments of commitments made when the faculty member was appointed; for example, when the instructor has completed his work for a doctoral degree. Responsibility for initiating a promotion from assistant professor to associate professor or from associate professor to professor rests with the department chairman or dean of the professional school. His recommendation is made to the Vice President for Health Affairs or to the Vice Provost and Dean of Faculty, typically at the same time he presents his proposed budget for the next fiscal year. The recommendation must be supported by a statement indicating the departmental colleagues with whom the chairman or dean has conferred as well as a report of their attitudes toward the proposed promotion. In the arts and sciences departments, two or more letters from senior members of the department addressed to the vice provost and giving an appraisal of the faculty member, are also required. In addition, the vice provost may ask for references from appropriate persons outside the University.

If the promotion is approved, the recommendation and the relevant materials are forwarded to the Provost, who must decide whether or not to recommend the promotion to the Chancellor. Finally, the President decides which promotions should be recommended to the Board of Trustees.

Those promoted from the rank of assistant professor to the rank of associate professor normally are recommended for tenure at the time of the promotion. Promotions are recommended and made upon the basis of teaching, research and publication, and upon general service to the University. No specific formula is used in such determination.

DISTINGUISHED PROFESSORSHIPS

As a recognition of significant accomplishment in scholarship and teaching, Duke University has a number of named distinguished professorships. Appointment to one of these professorships is the highest honor the University can pay to a member of the faculty. Appointments are made on the basis of recommendation from a committee of Distinguished Professors.

TENURE AND ACADEMIC FREEDOM

The University bylaws provide automatic tenure for assistant professors, associate professors, and professors after

seven years of continuous service. Tenure may be had after shorter periods of service only upon the recommendation of the President and approval by the Executive Committee of the Trustees. A faculty member not appointed to a tenured position may be retained on a year-to-year basis in a non-tenured capacity by appointment to a clinical or adjunct position.

Duke University has a long tradition of maintaining academic freedom for all of the instructional staff. However, a person may be dismissed for misconduct or neglect of duty. A complete statement regarding both the University's policy on academic freedom and responsibility and its administration has been approved by the University faculty, the Provost Group, and the President, and is attached to this handbook as Appendix IV.

RETIREMENT

A faculty member may retire with full benefits after reaching the age of sixty-five. However, if he decides to retain his position beyond that age, retirement is mandatory in his seventieth year. Persons reaching the age of seventy prior to March 1 of a given academic year retire on the preceding August 31. Those whose seventieth birthdays come after March 1 retire on the following August 31. Except in extremely rare instances when the University has need for a faculty member's continuing help, no exceptions to the mandatory retirement rule are allowed. Academic administrators must retire from administrative work at sixty-five, but may continue their teaching responsibilities until they reach the retirement age for faculty.

EMERITUS RECOGNITION

By action of the Board of Trustees, after recommendation by the Provost and approval by the President, faculty members who retire at age sixty-five or over and who have served the University for at least ten years receive the emeritus title of the same faculty rank they held at retirement. Along with this title go certain privileges, such as inclusion in the faculty lists printed in University bulletins, invitations to attend appropriate University functions, participation in the tuition grant program for their children, the right to be considered for Research Council grants and publication subsidies, and a subscription to the University's weekly calendar. Additional, of course, are the financial benefits available to all eligible retired faculty.

RESIGNATION

Faculty members are expected to follow the general code of ethics of American universities and should resign from the University prior to May 1 if the resignation is to become effective the next academic year. A person wishing to resign should first inform his department chairman or dean and then write a letter of resignation to the Vice Provost and Dean of Faculty or to the Vice President for Health Affairs noting especially the date on which he desires to terminate his appointment.

LEAVES OF ABSENCE

Leaves Without Pay. As an administrative policy, the University usually finds a way to grant leaves without pay to those members of the faculty who have an opportunity to further their own research or scholarly interests or otherwise to contribute to the academic program of the University; however, leaves of absence from the University are limited to two years out of every seven.

Sabbatical Leaves. Sabbatical leaves are provided for in the bylaws of the University, and as an enlargement of that provision, the following policy statement has also been adopted:

Sabbatical leave is for the primary purpose of increasing the value of the professor's further service both to his profession *and* to the University. Although there may be exceptions, such a purpose would ordinarily be served by the pursuit of scholarship, e.g., for study, research, or publication, undertaken to further the solution of pedagogical and administrative problems. Sabbatical leaves are not to be used for purposes of recreation and general travel.

Granting of Sabbatical Leaves. Normally, a sabbatical leave will not be granted if the applicant plans to accept remunerative employment. This rule does not apply to the acceptance of fellowships and similar grants which serve the purposes outlined in the above paragraph. Furthermore, there may be other situations in which acceptance of a remunerative position may lead to a fulfilment of the primary purpose of increasing the value of the professor's further service to his profession *and* to the University.

Ordinarily sabbatical leaves will be granted only if there will be opportunity for at least one full year of teaching upon return from leave. Usually any person granted sabbatical leave is obligated to return for at least one year's service following the leave.

Sabbatical leave may be granted for a full year at half salary or a half-year at full salary.

Eligibility. All members of the faculty of the rank of professor, associate professor, or assistant professor, including those with part-time administrative duties, are eligible to apply for a sabbatical leave during the seventh, fourteenth, twenty-first, etc., year of service at Duke.

Full-time leave without pay will not count toward eligibility time for sabbatical leave.

"Service to the University" is interpreted to mean service in a full-time capacity as an instructor (associate in the Medical School), assistant professor, associate professor, or professor.

Sabbatical leaves not taken when due may accumulate up to three leaves, but under no circumstances may such leaves be taken in succession.

Where eligibility for sabbatical leave is not clearly established, the case should be discussed with the Dean of Faculty, or the Vice President for Health Affairs in the Medical and Nursing Schools.

Application Procedure for Leaves of Absence. The following procedure should be followed in applying for either a sabbatical leave or a leave without pay:

A. A letter requesting leave should be addressed to the Provost of the University *before December 1* of the year preceding the academic year for which leave is requested. In exceptional cases, a slightly later request will be considered. The letter should contain a statement by the faculty member of how he expects to use the leave, where he expects to be during the leave, and a clear statement indicating whether he is requesting a sabbatical leave of one semester at full pay, one year at half pay, or a leave of absence without pay for an indicated period.
B. A copy of the letter to the Provost should be sent to the Dean of Faculty or Vice President for Health Affairs and to the department chairman.

C. The department chairman will send a letter to the Dean of Faculty or Vice President for Health Affairs endorsing the requested leave and indicating whether the leave will necessitate provision for replacement of instructional time.
D. Upon return from leave, the staff member is expected to give a full report in writing to his department chairman or to his dean.

DUKE UNIVERSITY RESEARCH COUNCIL

The Duke University Research Council is provided with funds by the University for the purpose of promoting faculty research. Composed of senior faculty, with balanced representation from the major disciplines, it is appointed annually by the Chancellor. Council funds are awarded to faculty members in the form of research grants, subsidies to support the publication of books, and reimbursement for expenses of professional meetings.

Early in each spring semester the council notifies all eligible faculty members of its program and distributes application forms for funds. It does not consider late applications. At the same time, holders of grants from the previous year are asked to submit reports on the progress they have made.

Any faculty member desiring financial support for his participation in a professional meeting must notify the council in advance of his departure. Upon his return, he must send the council a report of his expenses, receipts and ticket stubs, and some proof of his participation in the meeting, for example a page from the program describing his role.

To provide some control over the allocation of its travel funds, the council supports participation in only those professional societies which it has approved. Approval of a society may be obtained by vote of council members at the request of a faculty member, who should provide information as to the nature of the society in the form of a letter to the chairman. A list of approved societies is maintained by the council and can be examined by any faculty member.

The Research Council will allow travel expenses by bus, railway coach, Pullman, or by air (with reasonable limousine fares) for not more than two trips a year. The total sum allowable for transportation on one or both trips may not exceed $200. When an applicant travels by automobile, he will receive reimbursement at the rate of 10 cents a mile, providing his mode of travel is in the special interest of the University (for example, when the applicant takes colleagues or graduate students). Otherwise, compensation will not exceed the cost of travel by air. There is also a flat subsistence allowance of $30 for each trip.

GRANT FUNDING: THE STATEMENT OF INTENT

Persons planning projects or programs for which they intend to solicit support from outside the University are expected to submit to the Dean of the Graduate School or his designated representative a Statement of Intent. Copies of this form are available from departmental chairmen or from the Graduate School office.

The Statement of Intent serves several functions. It gives advance notice of the scope and purpose of proposals so that applicants can be apprised of any administrative or financial factors which might strengthen their proposal, or which might lead to problems in implementation should the proposal be funded. For instance, federal regulations require considerable detail in the budget section of proposals; and especially in the case of projects involving "cost-sharing," the Statement allows responsible University officials to assist principal investigators in correctly documenting their financial estimates. In addition, the Statement serves to notify the University of the logistical support implications of pending projects and allows for better planning of them. Finally, the Statement helps to expedite subsequent administrative action on the completed proposal.

Proposal features will differ with the disciplines involved, and there is no intention to bring about undesirable uniformity or administrative censorship in such matters. The individual departments, schools, or divisions can establish certain procedures to be followed within their units before Statements of Intent may be filed with the Dean of the Graduate School. However, to keep administrative procedures at a minimum, they should be reviewed periodically for simplification and decentralization.

After the Statement of Intent is submitted, the Dean of the Graduate School distributes copies to appropriate administrative personnel. If questions arise from these sources, they are discussed with the Dean of the Graduate School. At this stage, any communications with the principal investigator are also handled through the Graduate School office.

When the proposal has been reexamined by the principal investigator and is ready for final submission, it is presented to the Office of Sponsored Programs (312 Allen Building) for final review of budget figures and for the appropriate signatures.

SPONSORED RESEARCH: PATENT AGREEMENT

Members of the academic staff and students who are engaged in sponsored research or who use certain special facilities are required to file with the Vice President for Business and Finance signed copies of an agreement. The agreement may be found as Appendix IX of this handbook.

COUNSULTING ACTIVITIES AND CONFLICTS OF INTEREST

The Statement on Conflict of Interest issued jointly by the American Council on Education and the American Association of University Professors in December, 1964, is included in this handbook as Appendix V. Because this Statement has been adopted also by the Federal Council of Science, contracts and grants with federal agencies contain a clause requiring signatory universities to have an established policy and procedure on Conflict of Interest which is in substantial agreement with the ACE-AAUP Statement.

Therefore, in accordance with the provisions of the joint statement, at the time a faculty member initiates a new consulting assignment, he should inform the University of the nature of his activity in a letter addressed to his department chairman or, in divisions where there are no departments, to the appropriate dean, with a copy to the Dean of Faculty or the Vice President for Health Affairs. A suggested format for the letter of notification follows:

1. During the first quarter of 1972, I plan to work three days as a consultant to the .....Company of Oak Ridge, Tennessee, on the design of nuclear instrumentation.
2. During the first quarter of 1972, I plan to serve as a consultant to the ..... Foundation.
3. During February, 1972, I will serve for three days as a consultant to ..... College under the Title III program for developing institutions.

Signed .....
Date .....

The University Counsel has been designated to assist faculty members in decisions about consulting positions involving potential conflicts of interest.

SECURITY CLEARANCES AND CLASSIFIED INFORMATION

A facility clearance has been granted to Duke University which permits the University to originate, receive, and store material classified as Confidential or Secret, and which enables necessary personnel to be cleared for the handling of Confidential and Secret material.

University personnel who have United States Department of Defense security clearances should become familiar with and follow the "Duke University Standard Practice Procedure for Safeguarding Classified Information." Copies of this document may be obtained at the office of the Director of Sponsored Programs who has the additional position of Security Supervisor for Duke.

Those persons who do not have security clearances and whose activities in research or consulting work make one necessary, should contact the Security Supervisor, who will provide the forms as well as assistance in their preparation and submission.

FACULTY REPORTS

The Provost annually asks all faculty members to update lists of their publications or submit new *vitae*.

Faculty members in Arts and Sciences and in several of the professional schools also report their teaching and administrative duties and committee memberships. The necessary forms are provided directly by the deans or department chairmen. A file of these Census Forms is maintained in the office of the Dean of Faculty.

NEPOTISM

Faculty members may not participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families. Especially where a husband and wife are employed in the same department, neither may serve as judge or advocate for the other. A faculty member may not employ his or her child or spouse to work for him or her through the University, whether paid from university funds or grants to the university. The foregoing, however, shall not preclude spouses or relatives from employment as collaborators in subsidized research projects where such collaboration has been specifically approved by the sponsoring authority.

SELECTION OF DEPARTMENTAL CHAIRMEN IN ARTS AND SCIENCES

All chairmen in arts and sciences are on term appointments of three years if appointed from within the department and five years if appointed from without. Chairmanships do not automatically rotate, but are reviewed early in the last academic year of the term. The review procedure begins with a letter from the Dean of Faculty to each full-time member of the staff of the department concerned asking advice regarding the next chairmanship term. Each individual is invited to write to the Dean directly. These letters are reviewed by the Dean of Faculty and are discussed with the Dean of the Graduate School and the Dean of Undergraduate Education. A recommendation is then made to the Provost, taking into account departmental views. The Provost, with the approval of the Chancellor, makes the appointment after reviewing the departmental letters and the recommendations from his administrative colleagues. Persons may not serve in the position of departmental chairman beyond the academic year in which they reach the age of sixty-five.

FACULTY COMPENSATION AND BENEFITS

PAYROLL PROCEDURES

Faculty and staff members should fill out Withholding Statements and fringe benefits forms in the Faculty and Staff Fringe Benefits Office, 03 Allen Building, or for faculty of the Medical School in the Hospital Personnel Office, 1160 Medical Center, by the twelfth of the month in which their appointment begins. The salary for the academic year of all continuing faculty members is paid in twelve monthly installments. They may choose to receive their checks through the mail or have them deposited in any of seven area banks. Salary checks are issued on the twenty-fifth of each month, and those persons choosing the automatic deposit system receive through the mail their check record, showing all the deductions which have been made. When the twenty-fifth falls on a Saturday or a Sunday, checks are issued on the preceding Friday.

Soon after the first of July of each year, each faculty member receives a letter signed by the Chancellor and the Provost, notifying him of his salary for the coming year starting with the July 25 payment. For faculty members who receive an increment in their salary after their first year, this system, in fact, generates a bonus of 2/12 of their initial raise. However, because the academic year starts September 1, summer school salaries and research payments for summer work are figured on the salary for the previous year.

FACULTY AND STAFF BENEFITS

The University's policies related to the following faculty and staff benefits are published in a pamphlet entitled *Faculty Benefits Handbook* (October 1969). Copies of this publication may be obtained from 03 Allen Building or 1160 Medical Center.

Faculty and Staff Benefits:

1. Retirement Annuity Plan
2. Social Security and Medicare
3. Decreasing Term Life Insurance
4. Group Life Insurance
5. Hospital and Medical Care
6. Tuition Grant Program
7. Disability Plan

TRAVEL AND SABBATICAL LEAVES

Travel Expenses. Approved travel on University business is compensated for according to University travel policy described on the back of the travel voucher required for all claims for travel expenses.

Cash Advance Account—Advances for Travel Expenses. Persons traveling on University business may arrange to receive an advance through the cash advance account. The necessary forms are available in the Bursar's Office. They should be filled out and sent to the Controller's Office for approval. The Controller sends all approved requests to the Bursar's Office, from which appropriate checks for the advance may be sent by mail or may be obtained in person.

After completion of travel for which an advance was received, a travel voucher should be processed through the Controller's Office and should indicate, in the space provided on the form, the amount received in advance. Any unused portion of the advance should be refunded to the University by a personal check accompanying the travel voucher. Where authorized expenditures exceed the advance, the amount due the traveler should be noted on the voucher so that payment can be made by the Bursar. Allowable expenses, instructions for preparing the statement, and other details are found on the reverse of the travel voucher.

Travel Accident Insurance. The University has made arrangements for group accident insurance coverage for all faculty members and members of the administrative staff while traveling on business for the University or with the authorization of the University. Coverage does not apply when the faculty or staff member is on vacation or on a personal leave of absence without pay.

Coverage is also provided for faculty members listed with the insurance company as being on sabbatical leave and while traveling away from the town of their permanent residence.

Detailed provisions are described in Appendix VIII of this handbook.

Sabbatical Leaves. This benefit is discussed in full on page 8 of this handbook.

FACULTY HEALTH CLINIC

The Faculty Health Clinic operates as a part of the University Health Services Clinic in the Marshall I. Pickens Rehabilitation Center, Erwin Road at Trent Street (across Erwin Road from the Graduate Center).

Three types of services are available:

A "Convenience Clinic," available without appointment on a drop in basis from 8:00 a.m. to 10:00 p.m. (except Sunday, when the hours are 2:00 p.m. to 10:00 p.m.) This clinic is designed for treatment of minor illnesses and injuries.

An "Appointment Clinic," available for scheduled preventive examinations, more complex or time consuming problems, etc. An appointment can be arranged Monday through Friday, 8:00 a.m. to 5:00 pm., with a particular member of the University Health Services Clinic staff, if desired.

A "Screening Clinic," available for routine performance of certain special examinations by a staff of nurses, technicians, etc. These include tests on blood and urine, tests of lung and heart function, tests on vision and hearing, etc. These results are generally sent to a physician for review and interpretation. This clinic can provide preemployment and insurance-type examinations and routine immunizations, as well.

Referral to other physicians is utilized when indicated. A 24-hour call system is also available for problems arising outside normal clinic hours.

TICKETS TO ATHLETIC EVENTS

Season tickets for Duke football and basketball games are available to faculty members and staff at a reduced rate through the Duke University Athletic Office located in the Indoor Stadium. The Athletic Office makes an effort to assure the faculty of seats in good locations.

PRIVATE PURCHASING

Duke University extends to full-time faculty members and employees the right to make professional purchases through the University Purchasing Department. Professional purchases are defined as those items which are utilized in the performance of the person's professional duties as related to the University. All purchases will be subject to a service charge of 10 per cent of the invoice price plus sales tax; shipping and handling costs will be additional. The estimated total charges must be paid when the order is placed.

The following types of merchandise may be classified as professional purchases:

Scientific and laboratory equipment, other than franchised or fair trade items.

Office furniture and equipment, costing $50 or more, of a type normally purchased for the use of Duke University, other than franchised or fair trade items.

POLICY WITH RESPECT TO MEMBERSHIPS:

Each member of the academic community may belong to, or hold personal memberships in, several professional organizations, but the policy of the University is that no personal memberships may be paid by the University from grant funds, special departmental funds, or regular departmental funds. In rare instances, it may be advantageous to have the University represented in some regional or international organization, and in such cases, special approval may be requested from the office of the Assistant Provost for Academic Administration. In other rare instances, a person may be expected to represent the University in a professional organization only because of the administrative position he holds at Duke University. Such requests may also be approved. Except in rare cases, however, no membership in an individual's name may be paid through University channels.

SOCIAL ORGANIZATIONS

The Campus Club. The Campus Club is an organization open to women staff members and to wives or one woman from the family of male staff members in the following categories:

Instructional staff having the rank of full-time instructor or above except in the Medical School where the rank of associate applies because it corresponds to that of full-time instructor elsewhere.

Full-time professional staff with rank equivalent to full-time instructor or above engaged in business administration, educational administration, research, public relations, libraries, student life, and extracurricular activities.

Each September, invitations are extended by the club to eligible women of the University community.

Among the activities of the Campus Club is the sponsorship of a Newcomers Club for wives of new members of the faculty and eligible staff. In addition, the Campus Club sponsors affiliated clubs and interest groups, including, in any given year, most of the following: bridge, cooking, foreign language, golf, music, sewing, rug hooking, travel, interior design, cooper enameling, art appreciation, and exercise classes.

The Campus Club meets monthly and levies nominal dues.

The Faculty Club. The Duke Faculty Club is open to all members of the faculty and university staff and constitutes the faculty's principal social organization. A nonprofit corporation headed by an elected Executive Committee, the Club invites membership simply by payment of nominal annual dues. An entirely new Faculty Club Facility is scheduled to open on June 1, 1972, in Duke Forest. This new addition to the Club, providing outdoor swimming pools, tennis courts, club house, bar facilities, terraces and other features, is available to staff and faculty families upon purchase of a family membership share.

STUDENT–FACULTY AFFAIRS

ATTENDANCE REGULATIONS AND SCHEDULING OF PROGRAMS AND CLASSES

Student Attendance Regulations. The University's attendance regulations place the responsibility for class attendance upon the student. He is expected to attend classes regularly and punctually and to recognize and accept the consequences of failure to attend. An instructor may refer to the appropriate academic dean for suitable action students who, in his opinion, are causing their work or that of the class to suffer because of absence or tardiness.

A student who is absent from a test or a required class because of illness must present a medical excuse to his instructor. Instructors should not require excuses from deans or medical personnel unless the class was required or a previously announced examination was missed.

Persons in charge of groups representing the University are required to submit the names of those students to be excused to the appropriate academic dean's office forty-eight hours before their absences are to commence.

Field Trips and Other Off-Campus Programs for Students. Professors who schedule field trips and other exercises which cause student absences must notify the office of each student's dean forty-eight hours in advance of the absence, reporting the date, time, and nature of the activity in which the student will be taking part.

Deviations From Regularly Scheduled Class Times. Classes may be met only at the times for which they are regularly scheduled unless prior permission is received from the University Schedule Committee. A form for requesting this permission is available in the offices of the deans of the professional schools and the chairmen of the departments of arts and sciences. Hours have been established by the committee for instructors who wish to meet a class at other than regularly scheduled time. They are Tuesday and Thursday between 7:30 a.m. and 8:45 a.m.

CLASS CHANGES, WITHDRAWALS, AND ADDITIONS

During the first two weeks of classes undergraduates may drop and add courses at their own discretion. It is the responsibility of students to be certain that their total course load does not fall below the minimum allowed.

An undergraduate may drop a course without penalty up until the time mid-term grades are assigned if he is clearly carrying a course overload. Factors such as poor health or necessary outside work are also considered in permitting withdrawal from courses without penalty. A *W* is entered on the permanent record in lieu of a grade in all cases where withdrawal without penalty is approved. After the time limit has expired, withdrawal from any course during a semester will ordinarily incur a penalty of *F*. Courses discontinued prior to mid-term without approval will also be assigned an *F*.

During the first five weeks of a semester, a graduate student may drop a course and have the fees refunded if he passes his preliminary examinations for the doctoral degree.

Graduate students, during the first month of a semester, may drop a course and add research credit with no reduction in fees.

CLASS ROLLS

Each instructor receives a temporary class roll from the Registrar on the first day of classes each semester. This list contains the name of each student enrolled in the course, his college, and his classification. Persons who register for class during late registration are required to present an admissions slip to the instructor, who then uses the information on the slip as a basis for adding names to his roll. Students wishing to drop a course must present a form to the instructor for his signature. After six weeks have elapsed in the semester, each instructor receives an amended class roll from the Registrar which includes all changes made to that date.

EXAMINATIONS

It is University policy that a final examination be given in every course and that these examinations may not be more than three hours long.

Regular Scheduling. The official schedule of final semester examinations for the division of arts and sciences and engineering is prepared and distributed by the University Schedule Committee, and no changes may be made

in it without the approval of the committee. Generally final examinations are scheduled according to the day and hour at which the course meets during the semester.

Block Scheduling. When a department offers six or more sections of a course in a given semester and when all the instructors in those sections agree to give a uniformly graded common examination, a separate block of time may be allocated for the final examination in that course, irrespective of the days and hours at which the various sections met during the regular semester. Forms to be used in requesting the University Schedule Committee for "block examinations" are available in the Registrar's Office.

Tests to be given during the regular semester may be scheduled on a "block" basis when as many as five or more sections of a course are being offered and when the instructors in those sections agree to give a uniformly graded common examination. Block tests must be petitioned for and approved by the University Schedule Committee. Such tests are usually scheduled on Tuesday or Thursday between 7:30 and 8:45 a.m.

Undergraduate Examinations. All undergraduate examinations and quizzes must be proctored and, in addition, instructors are requested to retain all final examination papers for at least one year after the date the examination is given.

ACADEMIC DISHONESTY AND PLAGIARISM

Students of the several undergraduate schools and colleges are responsible for maintaining academic honesty and high standards of personal integrity in reporting the results of their studies and research. An Undergraduate Judicial Board composed of twelve students, six faculty members, and three academic deans, handle cases of academic dishonesty, and breaches of community regulations not within the jurisdiction of the University Judicial Board. Should faculty members take it upon themselves to adjudicate or penalize students for plagiarism or cheating, this system would be seriously undermined. Members of the faculty are therefore expected to turn over pertinent information to an academic dean who would, in turn, submit the complaint to the Assistant Provost and Dean of Student Affairs for investigation.

All entering students are issued a copy of *The Use and Acknowledgement of Sources*, Duke University, 1965, which includes a statement of the importance of academic integrity, a definition of plagiarism, procedures for handling plagiarism and cheating, and the probable consequences for those convicted of these offenses.

GRADING

Undergraduate Symbols. The grading symbols used at Duke at the undergraduate level are as follows:

A - Exceptional
B - Superior
C - Satisfactory
D - Low Pass

All of the above are passing grades and may be modified by a plus (+) or a minus (−).

F–Failing. A grade of F indicates that the student has failed the course and that in order to receive credit for the course, he must repeat the work in class.

Pass/Fail Grading Option. With the consent of the instructor and faculty adviser, a student who has declared a major may choose to be graded on a pass/fail basis in one elective, non-major course each semester. In addition, with the consent of the instructor, adviser, and director of undergraduate studies a student may take for pass/fail credit courses in independent study or internship in any department including that of his major. Certain internships and small group experiences will be offered only on a pass/fail basis.

A student enrolling in a course on a pass/fail basis completes all the work of the course but receives either a pass (P) or fail (U) grade in lieu of a standard grade. After the first two weeks of classes in any semester, no student may change his status to or from a pass/fail basis. A pass grade may not subsequently be converted to a regular letter grade nor may the course be retaken on a regular credit basis.

Z–Satisfactory work in progress. The grade Z may be used in only upper level (100 or 200) year-long courses (called hyphenated courses) to indicate satisfactory work in progress at the end of the first semester when no regular grade is applicable. Hours are not calculated until the end of the second semester of the course when a single grade for the year's work will be assigned and added to the cumulative calculation.

X–Absence from final examination. In all cases in which the student is absent from a final examination, he receives an X instead of a final grade. If he does not present an acceptable explanation for his absence to the appropriate dean's office within forty-eight hours after the scheduled time for the examination, the X is converted to an F. Only the academic dean is authorized to excuse a student from a final examination. If the absence is excused, the student arranges with the dean and the instructor for a makeup examination. An X not cleared by the end of the semester following the examination missed is converted to an F.

I–Incomplete work. If because of illness or other emergencies only a student's work in a course is incomplete, he may receive an I for the course instead of the final grade. Incomplete courses must be completed before the close of the succeeding semester of enrollment; otherwise, the I is converted to an F, and the course must be retaken if the student is to receive credit for it. In the Graduate School one year is allowed for completion. In case a student whose work is incomplete is also absent from the final examination, he receives an X for the course. To clear an I from a student's record, the professor processes the appropriate form available in the Registrar's Office or from his departmental office and sends it to the Registrar.

W–Withdrawal. The letter W is used to indicate approved official withdrawal from a course. If a student drops a course without the permission of his dean, a grade of F is recorded. If, with permission, he drops a course in which he is failing, the grade for that course is recorded as an F unless, in the judgment of the dean, circumstances do not require this penalty but permit a notation of W to indicate withdrawal.

Graduate and Professional School Symbols. At the graduate and professional school level, various systems of symbols are used:

Divinity	A,B,C,D,F
Forestry	E,G,S,F
Graduate	E,G,S,F
Law	A,B,C,D,F
Medicine	P,F

All grades except F may be modified with plus (+) or minus (−), and such modifications are entered on the permanent record. Quality points are not used in the graduate and professional schools.

Reporting Grades. At the appropriate times each semester, the instructor is provided with two copies of the form on which he must report his class grades. These come to the instructor from the Registrar, through his department chairman or dean. The instructor carries the completed forms by hand to one of the offices designated by the Registrar. All such grade-report forms should be returned within forty-eight hours after the final examination is given. Grades reported more than forty-eight hours after the last scheduled final examination cannot be processed in time to appear on the current semester's grade report. In the case of midterm grades, which are required only for all freshmen and those upper-classmen who are doing F work, instructors should submit their report to the Registrar within forty-eight hours after the time period established for the midterm examinations. Midterm grades are not recorded on the permanent records.

It is the policy of the University to send final grades to each student and to his parents or guardians after the examinations at the end of each semester. Midterm grades are similarly distributed at the time they are reported.

Grade Changes. The procedure for converting I's and X's to other letter grades is described in the explanation of grade symbols. The University regulation on changes in grades other than those designated by I, W, and X requires that a letter be written on departmental stationery, signed by the instructor, and mailed directly to the University Registrar. The letter should contain the name of the student, the course and section number, the incorrect grade, and the correct grade. The letter must also state that the reason for the change in grade is either an error in calculation or an error in transcription. It is important to note that with the exception of "Incompletes," changes in grades may not be based on the late submission of work required of students in a course, or on the resubmission of work previously judged unsatisfactory. No changes may be made in a grade after the end of the semester following the one for which the grade was assigned, though cases of error discovered after the deadline may be appealed by the student or the instructor to the Vice Provost and Dean of Faculty. The purposes of these regulations are to promote accurate record keeping, careful grade reporting, and to protect the instructor from any student pressure.

COUNSELING AND ADVISING STUDENTS

Advising Students. The advising system at Duke places responsibility on the student for his academic program and progress, but makes assistance available whenever he seeks it or shows evidence of failing to meet the standards for continuation or graduation. The orientation and early advising of undergraduates are handled by the colleges and the counseling services. Before students select their majors they are assigned faculty advisers who teach in the division of studies in which they have expressed interest. After a student selects his major, which normally is done by the spring semester of his sophomore year, the responsibility for advising rests with his major department. Therefore, faculty members may be called upon to do formal academic advising by the Dean of Undergraduate Education or by their department chairmen, or both, at different phases of a student's program.

Those who are candidates for baccalaureate degrees and who desire to attain certification as teachers should be referred to the Department of Education as early as possible in order that they may be helped to plan their programs so as to be eligible for student teaching and to meet certification requirements. Each year some upperclassmen find that they cannot qualify because they did not begin their planning early enough.

The deans of the colleges maintain a continuous surveillance over the academic performance of all students, and most faculty members do a great deal of counseling on an informal basis.

Recommending Students. Faculty members who have been requested by a student to write a letter of recommendation or who have other stated educational purposes may review the student's academic records in the Central Records Office. However, it is University policy that faculty members respect confidential information which they acquire about students.

University Counseling Center. The University Counseling Center provides a free program of educational, vocational, and personal counseling to students enrolled at the University. Students may visit the Center at any time, on their own initiative, without special referral. In addition to personal counseling, the center administers special group testing programs for the University's schools, colleges, and departments, and serves as the local testing center for a wide variety of national testing programs. It maintains a library of educational and vocational information for the use of students and faculty. It conducts research on educational and psychological problems.

FACULTY ADVISERS TO STUDENT ORGANIZATIONS

Members of the University faculty are often called upon to serve as advisers to student organizations. These advisers serve by association with the group rather than by supervision.

Faculty Associates Program. Each undergraduate living group on campus, or federation of residences, has at least one faculty associate. The associate is usually invited by the students to assist in planning house programs, and to attend small discussions groups and social functions for the purpose of becoming well acquainted with the students of the house.

RESEARCH ASSISTANTS AND GRADUATE ASSISTANTS

Predoctoral candidates with special training and qualifications are appointed to serve as either research assistants or graduate assistants to individual staff members in certain departments. The amount of time spent in assisting and the nature of the work which may be assigned to an assistant vary. A faculty member should consult his chairman concerning the expected duties of assistants in his department.

TEACHER-COURSE EVALUATION

The Vice Provost in the undergraduate area distributes to departments each semester a supply of teacher-course evaluation forms for use by the faculty in their courses. The academic administration of the University urges strongly that each member of the faculty administer the evaluation in each of his or her classes. The completed forms are read only by the faculty member and the department chairman. Departments are free to prepare and use a different form serving a similar purpose.

FACULTY EVALUATION BY STUDENTS

Occasionally a committee of students appointed by the student government compiles a faculty and course evaluation. Based on a sample of student opinion, the evaluation is printed, bound, and then sold on campus to provide, in the words of one of the committees, "a guide for student selection of professors and courses" and to give faculty members "a reliable mirror in which to view themselves as teachers." These occasional teacher evaluations are not official publications of Duke University.

STUDENT PLACEMENT: THE OFFICE OF PLACEMENT SERVICES

The Office of Placement Services has the responsibility for assisting Duke students in obtaining permanent positions after graduation; aiding alumni who are seeking a change; and helping students find summer employment. The director of the office, who reports to the Vice President for Institutional Advancement, and other members of the office staff also do some career counseling.

The Office of Placement Services maintains contact with approximately five thousand companies, government agencies, schools, and colleges and universities, of which about three hundred send representatives to the campus each year. Faculty members and members of the administration will be invited to meet with visiting representatives at luncheon meetings during the year. In addition, some faculty members and administrators may be asked to serve as special hosts to those representatives who have a special involvement with Duke.

UNIVERSITY LIBRARIES

DUKE UNIVERSITY LIBRARY

The Library System. The libraries of the University contained over 2,225,000 volumes in June 1971, and are growing at an annual rate of more than 100,000 volumes. Eleven thousand periodicals, 16,000 serials, and 178 newspapers are received regularly. The collection includes 4,000,000 manuscripts; 40,000 maps; 12,500 sheets of music; smaller collections of photographs and broadsides; and 125,000 cards in microtext or rolls of microfilm.

The University holdings rank it twentieth among the university libraries of the United States. The holdings of the libraries include several distinguished special collections of international reputation, such as the George Washington Flowers Collection of Southern Americana, the Trent Collection of Walt Whitman, the Baker Collection of Wesleyana and British Methodistica, the Mazzoni Collection of Italian Literature, the Trent Collection of Medical History, the Strisower Collection of International Law, and the Perez de Velasco Collection of Latin American History.

The William R. Perkins Library—the central library of the University—houses most of the books and journals for teaching and research in the humanities and social sciences. Its services are organized into a reference department, including documents; a circulation department, which includes periodicals, the undergraduate collection, and a graduate reading room; and rare books and manuscripts. In order that specialized materials may be conveniently located for regular users, there are special libraries for the Departments of Biology-Forestry, Chemistry, and Physics-Mathematics; and for the Schools of Engineering, Divinity, Law, and Medicine. The Woman's College Library is primarily for undergraduate use, but contains also the principal collections for graduate and undergraduate work in art and music.

Administration. The administration of the library is discussed on pages 2-3 in this handbook.

Selection of Library Holdings. Funds are allocated to each department for the purchase of books, but additional funds are available upon application to the head of Technical Services in the Perkins Library. Annual charges for periodicals and serials are made against a special appropriated fund and not against departmental allotments.

Each department in the University has a library representative who is acquainted with library procedures and with his department's specific needs. All recommendations for purchases should be sent through him to the Assistant Librarian for Technical Services. The Schools of Law and Medicine have separate budgets for books, and members of these faculties may be informed about the procedure for ordering books through the librarians of the respective schools.

The time required for the completion of a book order varies considerably. However, in an emergency, the process can be expedited by marking the word *Rush* on the order card in the space marked "Special Instructions."

A copy of the order card is sent to the originator of the order after the book has been processed and shelved.

Members of the library staff also participate in the selection of books. By acquiring reference and bibliographical tools, current publications, and back files of journals, they attempt to fill gaps not covered by other purchases.

Faculty Privileges. All faculty members may borrow most library books (not periodicals and bound journals) for an extended loan period subject to periodic return and renewal and/or recall for use of other borrowers or for reserve purposes. Periodicals and journals may be borrowed for one day use only but generally are to be consulted in the bound periodical reading areas in the stacks.

Families of faculty members may use all University libraries.

Control Desk. In order to guarantee the orderly functioning of the Perkins Library for the benefit of all members of the University community, Control Desk Attendants have been established at the library's principal exit and authorized to examine all books and other library materials persons leaving the building may be carrying in hands, briefcases, or bags to determine if they are properly charged. Anyone who refuses to permit his books to be examined may be denied further use of the library.

The Reserve Shelf. Faculty members may place various library holdings on reserve for students by completing the necessary forms available at the circulation desks of the Undergraduate Library, the Woman's College Library or the appropriate departmental library. Completed

forms should be returned to these desks at least two weeks before classes begin.

Within general limits, a faculty member may establish the rules for student use of the material placed on reserve. However, several pre-established reserve categories may be employed ranging from "desk service," under which items do not leave the room, to "seven-day reserve."

Library Carrels. A limited number of closed and open carrels are available in the various libraries. Assignments ordinarily are made for the academic year; carrels not being used may be reassigned. Moreover, they will be reassigned if not renewed for each summer session or for the academic year following the last summer session. A member of the faculty may apply for a carrel through the head of the Circulation Department.

Interlibrary Loans and the Libraries of the Consolidated University of North Carolina. The Duke University Library provides the usual interlibrary loan services and also maintains a complete author catalog of the holdings of the library of the University of North Carolina at Chapel Hill. A faculty member at Duke may borrow directly from the libraries of all the campuses of the Consolidated University of North Carolina after he has acquired a borrower's card from the Circulation Department of the Perkins Library. There is daily delivery service between the Duke University Library and the libraries of the University of North Carolina at Chapel Hill and North Carolina State University at Raleigh.

Reproduction of Library Materials. The library has microfilming, photoduplication, and Xerox services. The rules with regard to copyright and a schedule of fees for reproduction services are available in the library at the point of service.

RECORD LIBRARY

The Department of Music has a Record Library separate from the University Library. Its Arts Council collection of records is available to all faculty members on a rental basis. The departmental collection and the Mary Duke Biddle collection are both available only to the faculty of the Department of Music. However, other faculty members may, with permission, borrow records from these two collections for use in their classes. The Record Library also has some limited facilities for listening to recordings.

UNIVERSITY RESOURCES AND SERVICES

ADDRESSING AND MAILING

The campus mail and addressograph services are reserved for communications necessary to the internal operation of the University. Faculty members with questions about these services should consult the Secretary of the University.

AUDIOVISUAL CENTER

The Audiovisual Center is located in the Duke Medical Center; and although it serves primarily the center in medical research, teaching, and patient care, its services are also available to faculty from other divisions of the University. The Center has professional capabilities in the fields of art, photography, and television. It is operated on a fee basis. A schedule of rates is available at the Audiovisual Center.

BANKING SERVICE

Banking service on campus is provided by the Central Carolina Bank and Trust Company of Durham. The office is located in the University's Union Building on West Campus. There is a branch of Wachovia Bank and Trust Company located in the Medical Center. The Bursar's Office will cash personal checks for University personnel if cash is available.

CAMPUS MAIL

Special envelopes are provided by the University for campus mail. This mail is not sealed and is processed through the University's messenger service. A supply of envelopes is available through departmental secretaries or the various mail rooms.

CAMPUS TRANSPORTATION

Free bus service on campus is provided by the University. Schedules are posted at the terminals of the routes on East Campus and West Campus and at Hanes House.

CHAPEL

The Duke University Chapel has an interdenominational service each Sunday morning, at which Duke ministers and guest preachers are heard. Special services are held at the Chapel frequently during the year, as are organ and carillon recitals and choral concerts.

UNIVERSITY COMPUTATION CENTER

The Duke University Computation Center is intended to provide the University faculty and students with a facility for research and instructional computing needs.

The Center is presently equipped with an IBM System 360 Model 40 which is connected by high-speed telephone lines to an IBM System 370 Model 165 located at the Triangle Universities Computation Center (TUCC) in the Research Triangle Park. A number of terminals linked to the TUCC facility are also located on the campus.

The Triangle Universities Computation Center is a nonprofit corporation formed jointly by Duke University, North Carolina State University at Raleigh, and the University of North Carolina at Chapel Hill. The purpose of the TUCC is to make available to the three universities the finest computing capabilities in the country.

The Duke Computation Center located on the campus provides computing, keypunch, programming, and consulting services to the University's users.

Faculty members wishing to use the facilities of the Center should apply for the service through their departments which have computing budgets.

More specific information regarding the availability and use of the facilities of the center may be obtained from the Director of the Computation Center or the Coordinator of Institutional Data Processing.

DINING FACILITIES

There are two cafeterias, a snack bar, and a restaurant open to the general public in the Union Building on West Campus. A faculty dining room is located on the second floor of the same building, where full meals and a-la-carte items are served at lunch on weekdays only. On the East Campus, there are two cafeterias, one in the Union Build-

ing and the other in the basement of Gilbert-Addoms House. There is a faculty dining room in the East Campus Union which serves lunch Sunday through Friday. A public cafeteria is operated in the Graduate Center. Special holiday and summer schedules are not covered by the above listings.

University stores on East Campus, West Campus, and in the Medical Center have snack bars which serve packaged sandwiches and soft drinks.

DUKE UNIVERSITY PRESS

Most publications of the Duke University Press (formerly Trinity College Press) are of a specialized nature, and, as a matter of policy, the Press does not publish original fiction, verse, or drama, nor does it publish works designed as textbooks per se. Although Duke faculty members generally account for 40 to 60 per cent of the published books, the Press has not limited its scope to any one field of study, region, or group of authors.

Manuscripts for publication may be submitted to the Director of the Press. However, manuscripts suitable for submission to the University Research Council for a publication subsidy (see page 9 of this handbook) should come to the Press through that body, though a grant to an author through the council's Research Publication Fund in no way obligates him to submit his manuscript to the Press.

The council and the Press follow the same procedure in evaluating manuscripts. Two disinterested experts in the field concerned read the manuscript and prepare critiques of it. The council's decision to make a grant and the Press's decision to publish are based on these critiques. The decision of the Press to publish a particular manuscript is independent of the council's decision to make a grant. As a rule, the Press will not seek additional critiques of a manuscript that reaches it through the Research Council, but it reserves the right to do so if circumstances demand such action.

Faculty members are welcome to discuss any problems of publication with the Director-Editor, the Assistant Director and Business Manager, or the Production Manager.

The Duke Press is financed through sales and subscriptions, an annual subsidy from the University, occasional grants from various sources for its overall operation or specific projects, and specific title subsidies. The Press is governed by an Editorial and Advisory Board of at least seven members from the faculty and administration of the University.

For a list of journals published by the Press, see page 24 of this handbook.

OFFICE OF THE UNIVERSITY EDITOR

On request, the University Editor's Office will assist in the preparation of copy and handle the technical details for the production of all types of printed matter—booklets, folders, announcements, reports, etc. The office will help select a printing process and format in keeping with the purpose and budget of the publication. Suggestions for layout, illustrations, type, paper, binding, and other specifications will also be given. When requested to do so, the office will take care of production details and act as liaison between printers and University departments. The office is located at 2127 Campus Drive and may be reached at Ext. 2123.

DEPARTMENT OF HOUSING MANAGEMENT

This office will assist all members of the Duke community who are seeking housing accommodations. Property available upon a nondiscrimination basis may be listed with the office.

IDENTIFICATION CARD

In the fall of every year, each eligible person receives a wallet-size card which serves to identify him as a member of the faculty of Duke University. The card is issued by the Faculty and Staff Fringe Benefits Office (03 Allen Building) for faculty other than those in the Medical Center. Cards for Medical Center faculty are issued by the Medical Center Personnel Office.

INFORMATION

There is a General Information Service for the entire University at the Information Desk in the lobby of Flowers Building. Someone is on duty at this desk and will assist in locating individual students, faculty and University employees. The Information Desk closes at 12:00 Midnight.

OFFICE OF PUBLIC RELATIONS

The Office of Public Relations has three major divisions: the Office of Information (News) Services, Medical Center Public Relations, and the Radio-Television Service. Within each division, information for publication or broadcast is written and distributed.

The Office of Public Relations also answers requests for general information about the University and provides related brochures, photographs, slides, films, tapes, and, where appropriate, biographical information about faculty members and administrative officials.

While the professional newsmen in the News Service and the Radio-Television Service initiate many stories for publication or broadcast, faculty and staff are also invited to submit material either personally or through their departmental liaison officer, if one has been appointed, to the Office of Public Relations. Such information need not be in publishable form, since the staff of the office assumes responsibility for actually preparing news stories for publication. The Office of Public Relations will handle publicity for special events and arrange news conferences or symposia for appropriate visitors to the University when requested to do so.

PRESCHOOL LABORATORY PROGRAM

Duke operates a preschool combined with a kindergarten and first grade for children of the faculty and the community. Professionally staffed, the schools are administered and used for observational purposes by the Department of Psychology. Both programs are run on a fee basis, and pupil openings are filled on a first come, first served basis.

PARKING

Each motor vehicle operated on campus must be registered with the University and must display the appropriate parking emblem. To register a vehicle, a faculty member must appear in person at the Traffic Office on Campus Drive and show the following: (a) his driver's license, (b) his

state vehicle registration card, and (c) evidence of liability and property damage insurance coverage.

Each faculty member receives a free "E" or "H" parking emblem for as many cars as he owns and must park in the spaces reserved for his emblem or in unrestricted parking areas. Traffic Rules and Regulations are obtained from the Traffic Office at the time of vehicle registration.

PHOTOGRAPHIC DEPARTMENT

The University Photographic Department, located at 615 Chapel Drive, serves the entire University community. Cost is kept as low as operations will permit. Anyone needing the services of the photographers should give adequate advance notice.

RECREATION

A printed schedule of activities and facilities open to faculty members is available from the Department of Physical Education.

Faculty may arrange with the School of Forestry for use of picnic facilities in the Duke Forest.

ROOM ASSIGNMENT FOR MEETINGS

Faculty members may arrange to use lecture rooms, laboratories, and classrooms for meetings during unscheduled hours. Reservations for rooms should be made through the Office of the Registrar at least twenty-four hours in advance.

SCHEDULING PUBLIC EVENTS

The Duke University Calendar is published weekly by the Office of Cultural Affairs and is distributed to the academic and administrative departments on Friday afternoons and Saturday mornings. It lists University events for the following week from Sunday through Sunday. Notices for the calendar must be in written form, signed by the person submitting the notice and received in the Calendar Office (107 Flowers Building) no later than 4:00 p.m. on Monday of each week. A yearly calendar is also published by this office at the beginning of the year and is mailed to all University faculty and staff.

SECURITY

The Duke Security Department is located at 2010 Campus Drive. Its primary purpose is the protection of life and property within the University community.

It is a private law enforcement organization sanctioned under the laws of the State of North Carolina and composed of an investigation section, a traffic section, a uniformed police section, and a University safety section.

STATISTICAL CONSULTING SERVICES

Three different groups are available for consultation on statistical methodology as it relates to research. One group, located in the Department of Community Health Sciences, works primarily with the faculty of the School of Medicine. A second group, in the School of Forestry, serves forestry, and the biological sciences. The third group, in the Department of Mathematics, is for the use of all other faculty. The indicated lines of responsibility are flexible and selection of the particular consulting service should be determined by the primary nature of the problem.

No fee is charged for services except in the Department of Community Health Sciences, and then only when grant funding for that purpose is available to the researcher.

STORES

The University Stores are owned and operated by Duke and provide educational material and services.

The Gothic Bookshop in Flowers Building has a large stock of new and secondhand hard-cover books, and some 4,500 quality paperback titles as well as prints, drawings, and maps. Faculty members may charge purchases made at the bookshop and thus receive a 10 per cent discount on all items (with the exception of textbooks) bought on their account.

The University Bookstore, located in the basement of the West Campus Union Building, stocks all books required for courses. Outline series and other study aids are also available.

The University Men's Store is in the basement of the West Campus Union Building and has general, personal, and classroom necessities priced with a student's budget in mind. It also carries a selection of stationery, magazines, gifts, and greeting cards. The Woman's College Store, located in the Crowell Building on East Campus, and the Medical Center Store, located in the Davison Building, offer the same inventory as the Men's Store with the addition of a selection of medical books in the Medical Center Store. Each of these stores has a snack bar. There are also a University Barber Shop and a shoeshine stand located in the basement of the West Campus Union Building.

TELEGRAMS

Telegrams received during the day and prior to 7:00 p.m. at the Information Desk in the lobby of Flowers Building will be dispatched within a few minutes after arrival.

TELEPHONES

Telephones on the campus are a part of a private exchange owned and operated by the University. An extension may be reached from off campus by dialing 684 plus the extension number. The general number and the number of the Duke operator is 684-8111. When on the Duke campus, one may dial a Durham number by dialing "9" first and waiting for a dial tone before dialing the Durham number. The one exception to this procedure is the Department of Physics which has its own system. To reach that department, dial 8, wait for a dial tone, then dial the other numbers. All telephones with "9 restricted" showing on their dial cards are restricted to University calls and cannot be used for Durham numbers. For further information, including long distance calls, see the University telephone directory.

TYPING BUREAU

The University maintains a typing bureau which, for a fee, will perform the following services: typing, stenciling, mimeographing, nonprofessional art work, and mailing, including assembling, folding, stuffing, addressing, and la-

beling. The bureau also maintains a list of persons who are available to do typing work of all kinds on a free-lance basis. The Typing Bureau is located in the basement of the Old Chemistry Building.

OFFICE OF SPECIAL EVENTS

This office will assist any group or department of the University Community to coordinate affairs, such as meetings, seminars, conferences, dinners, dedications, ground breakings, or similar events. Call 2488 for assistance.

OFFICE OF DEVELOPMENT

The Development Office is responsible for coordinating Duke's capital fund raising program which raises money for buildings, endowment, and special programs. Assistance can be provided in the preparation of proposals and background information may be obtained on corporations, foundations, and individuals. In the Foundations Relations Office there is a complete library of annual reports on the

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GIFT RECORDS OFFICE

The Gift Records Office, located at 2127 Campus Drive, is a combination of the gift record functions of the Alumni and Development Offices. All non-governmental gifts and grants are processed through this office. Examples of such gifts are those from individuals, foundations, corporations, religious groups, and other organizations. Gifts would include cash, checks, and securities, as well as descriptions of tangible gifts (i.e., books, equipment, papers, art objects, and artifacts).

A centralized gift records office aids prompt acknowledgement and receipt procedure, makes information more available, and facilitates the prompt and accurate processing of gifts by the University.

KEYS

To obtain a key to his office or to any other locked room on campus, a faculty member must submit a letter of authorization signed by his department chairman, or another responsible official, to the University's Key Office, 110 Page. Keys for the medical areas may be secured from the Housekeeping Department, 026B Hospital. A one-dollar deposit, required for each key, is refunded upon the return of the key.

LOST AND FOUND

Lost and found articles may be taken to the following locations: West Campus—Security Office, Campus Drive and Information Desk in Flowers Building; East Campus—Housekeeping Office, Union-Brown Arcade; Medical Center—Housekeeping Office (or, after hours) the Hospital Admitting Office.

UNIVERSITY PUBLICATIONS

OFFICIAL ANNUAL BULLETINS OF DUKE UNIVERSITY

Information for Prospective Students
Undergraduate Instruction
Information and Regulations–Undergraduate Colleges and Schools
Bulletins of the Graduate School
The Divinity School
The School of Forestry
The School of Law
The Medical Center
Physicians Associate Program
The Graduate School of Business Administration
The Summer Session
Duke University Marine Laboratory
Directory of the Officers, Faculty, and Staff
Profile

GENERAL PUBLICATIONS

Your Invitation to Fun, Fitness, and Fellowship, Department of Health and Physical Education, annual.

This brochure contains a schedule of activities and a list of facilities open to faculty members for recreation.

Facts About Duke University, Office of Public Relations, current.

This brochure contains a brief history of Duke University and general descriptions of the schools and colleges, the faculty, the students, and the campus.

Guide to the Duke University Libraries: Faculty and Graduate Students, Office of the Librarian, current.

This publication describes the regulations, schedules, and general holdings of the various libraries on campus as well as suggestions concerning their use.

Intercom, Medical Center, weekly.

Designed to promote internal communications in the Medical Center, this publication contains news of the Medical Center and the University.

The Use and Acknowledgment of Sources.

This booklet was published in 1965 by the undergraduate colleges.

Library Notes, Duke University Library, published occasionally.

This bulletin, sent to members of The Friends of Duke University Library, contains library news items and articles written by members of the University faculty and library staff members.

University Report, Office of Development, quarterly.

This brochure provides information about the progress of the Fifth Decade Campaign as well as general news of the University.

Parking, Traffic, and Safety Regulations, Traffic Office, annual.

This brochure lists all regulations concerning the operation of motor vehicles on the Duke University campus. It is distributed with the vehicle registration emblems.

General Policies and Regulations–Duke University, Assistant Provost for Academic Administration, periodically.

This brochure, distributed to all faculty members, explains the University's general policies and regulations.

CALENDARS

Duke University Calendar, Office of Cultural Affairs, weekly.

The calendar is distributed through the academic and administrative departments on Friday afternoon and Saturday morning. It contains a listing of University events for the following week with a Sunday-through-Sunday coverage.

Duke University Year Calendar, Office of Cultural Affairs, each year.

This calendar is distributed at the beginning of each year and contains a listing of scheduled events for the entire academic year. It is updated on the first of each month by a listing in the Duke University weekly calendar of the events taking place during that month.

Academic calendars are to be found in the appropriate bulletins of the various colleges and schools of the University.

DIRECTORIES

Directory of the Officers, Faculty, and Staff, Office of the Secretary, annual.

This directory contains the name, year individual joined Duke, highest degree received, where received, position, and home address of each person in the categories stated. Change in degree received, year received, or address should be sent promptly to the office of the Secretary.

The Student Directory, annual.

The Student Directory provides the name of each student at Duke University along with his or her local address, and the college in which he or she is enrolled. It is published as a section of the telephone directory.

The Private Automatic Exchange Telephone Directory, Office of Maintenance, annual.

This annual provides a listing of the home and office phone numbers and addresses of each faculty and staff member at Duke University, along with a student listing. Information on some of the services of the University is also included.

ALUMNI PUBLICATIONS

The Alumni Register, Alumni Publications Office, eight times annually.

The circulation of this magazine is approximately 18,500. The *Register* features class notes, campus and alumni news items, and major articles of interest to the general alumni body which have been written by faculty and members of the administration. This magazine is distributed only to Loyalty Fund contributors during any given year.

The News Register, Alumni Publications Office, quarterly.

This newspaper is distributed to the entire alumni body and contains short news items about the University, alumni, etc.

School and College Newsletters, Alumni Publications Office.

In cooperation with the alumni associations of the various schools and colleges, the following newsletters are published by the University: the *Woman's College Newsletter*, the *School of Engineering Newsletter*, the *School of Forestry Newsletter*, the *Divinity School Newsletter*, the *Graduate School Newsletter*, and the *School of Medicine Newsletter*.

JOURNALS PUBLISHED BY THE DUKE UNIVERSITY PRESS

American Literature, quarterly.

This is a journal of literary history, criticism, and bibliography, dealing specifically with American authors and their works, past and present. The journal is published with the cooperation of the American Literature Section of the Modern Language Association.

Duke Mathematical Journal, quarterly.

A quarterly in the field of higher mathematics, this journal covers all aspects of mathematical study. Contributing authors include mathematicians from both academic life and industry.

Ecology, six times a year.

An official publication of the Ecological Society of America, this journal deals with all forms of life in relation to environment. Each issue contains, in addition to the feature section, reports and book reviews.

Ecological Monographs, quarterly.

An official publication of the Ecological Society of America, this journal is devoted to publication of specialized articles too long for inclusion in the companion journal, *Ecology*. Each issue contains approximately four reports.

History of Political Economy, semiannually.

This journal was founded to meet the need for a journal devoted to the history of economic thought. The journal includes the development of economic analysis and the relations of theory and analysis to policy, to other disciplines, and to social history generally.

Hispanic American Historical Review, quarterly.

Published in cooperation with the Conference on Latin American Studies of the American Historical Association, each issue of this journal contains articles, book reviews, and book notices on subjects having to do with Latin American history and culture.

Journal of Medieval and Renaissance Studies, semiannually.

This new journal, focused on the transition from the Middle Ages to the Renaissance, is interdisciplinary in its approach and examines general problems and specific issues in the art, history, literature, music, philosophy, and theology of the two periods.

Journal of Personality, quarterly.

Devoted to scientific investigation in the field of personality, this journal places emphasis on experimental studies of behavior dynamics and character structure, personality-related consistencies in cognitive processes, and the development of personality in its cultural context.

South Atlantic Quarterly, quarterly.

This journal is one of the oldest scholarly periodicals in general humanities in the United States. Literature, history, religion, and fine arts are among the various fields which receive attention in its issues.

OTHER JOURNALS PUBLISHED BY DUKE UNIVERSITY

Greek, Roman and Byzantine Studies, quarterly.

An international journal devoted to the Hellenic tradition from antiquity to the end of the Byzantine Empire, *GRBS* publishes scholarly articles on every aspect of the Greek world, its literature and language, philosophy and religion both classical and Christian, art, archaeology, and history. The staff also publishes two supplementary series: *Greek, Roman and Byzantine Monographs* and *Greek, Roman and Byzantine Scholarly Aids*.

Law and Contemporary Problems, quarterly.

This periodical presents in each issue a symposium on a problem of current importance, in which the interrelated social and economic, as well as legal, factors are discussed by writers of competence in these respective fields.

Duke Law Journal, six times a year.

The *Duke Law Journal* follows the American law school tradition of student-managed legal publications, forming an integral part of the storehouse of scholarly writing in the profession. Each issue includes articles by law teachers and practitioners, as well as writings by selected students, on matters of current interest in the field.

STUDENT PUBLICATIONS

Archive, Student Publications Office, four issues annually.

The *Archive* is the campus literary magazine. While it is primarily a student magazine, contributions may come from any segment of the University. The magazine contains poetry, short stories, essays, drawings, book reviews, and other features.

Chanticleer, Student Publications Office, annual.

The *Chanticleer* is the yearbook of the University and is distributed to fully enrolled undergraduates every May.

The Chronicle, Student Publications Office, five times a week.

The Chronicle is the campus newspaper and is distributed free to all members of the University community at various points on campus. *The Chronicle* is also available through mail subscription (campus mail, $10 a year; off-campus mail, $14 a year).

The DukEngineer, Student Publications Office, four times annually.

Semi-technical in nature, the *DukEngineer* publishes articles of general interest and importance in the fields of civil, mechanical, and electrical engineering. This publication also features news of the engineering societies and "Lub," the humor page.

The University Experience, YMCA, YWCA, annual.

A reference manual for freshmen, this handbook includes descriptions of all campus organizations, information on student government, the code of conduct, and miscellaneous information helpful to students on the Duke University campus.

APPENDIX I: Indenture of Trust, Charter, and Bylaws

INDENTURE OF TRUST

Among the provisions of James B. Duke's Indenture of Trust was an educational institution to be known as Duke University, to the building and support of which he made provision at the time of execution of the Indenture and later by additions thereto by the operation of his Will. In respect to Duke University the Indenture contains the following provisions:

I. (In Article FOURTH) The Trustees hereunder are hereby authorized and directed to expend as soon as reasonably may be not exceeding Six Million Dollars of the corpus of this trust in establishing at a location to be selected by them within the State of North Carolina an institution of learning to be known as Duke University, for such purpose to acquire such land and erect and equip thereon such buildings according to such plans as the Trustees may in their judgment deem necessary and adopt and approve for the purpose to cause to be formed under the laws of such state as the Trustees may select for the purpose a corporation adequately empowered to own and operate such properties under the name of Duke University as an institution of learning according to the true intent hereof, and convey to such corporation when formed the said lands, buildings and equipment upon such terms and conditions as that such corporation may use the same only for such purposes of such universities and upon the same ceasing to be so used then the same shall forthwith revert and belong to the Trustees of this trust as and become a part of the corpus of this trust for all the purposes thereof.

However, should the name of Trinity College, located at Durham, North Carolina, a body politic and incorporate, within three months from the date hereof (or such further time as the Trustees hereof may allow) be changed to Duke University, then, in lieu of the foregoing provisions of this division "FOURTH" of the Indenture as a memorial to his father, Washington Duke, who spent his life in Durham and whose gifts, together with those of Benjamin N. Duke, the brother of the party of the first part and of other members of the Duke family, have so largely contributed toward making possible Trinity College at that place, he directs that the Trustees shall expend of the corpus of this trust as soon as reasonably may be a sum not exceeding Six Million Dollars in expanding and extending said University, acquiring and improving such lands, and erecting, removing, remodeling and equipping such buildings, according to such plans, as the Trustees may adopt and approve for such purpose to the end that said Duke University may eventually include Trinity College as its undergraduate department for men, a School of Religious Training, a School for Training Teachers, a School of Chemistry, a Law School, Co-ordinate College for Women, a School of Business Administration, a Graduate School of Arts and Sciences, a Medical School and an Engineering School, as and when funds are available.

II. (In Article FIFTH) Thirty-two per cent of said net amount not retained as aforesaid for addition to the corpus of this trust shall be paid to that Duke University for which expenditures of the corpus of the trust shall have been made by the Trustees under the "Fourth" division of this Indenture so long as its name shall be Duke University and it shall not be operated for private gain, to be utilized by its Board of Trustees, in defraying its administration and operating expenses, increasing and improving its facilities and equipment, the erection and enlargement of buildings and the acquisition of additional acreage for it, adding to its endowment or in such other manner for it as the Board of Trustees of said institution may from time to time deem to be of its best interests, provided that in case such institutions shall incur any expense of liability beyond provisions already in sight to meet same, or in the judgment of the Trustees under this Indenture be not operated in a manner calculated to achieve the results intended hereby the Trustees under this Indenture may withhold the whole or any part of such percentage from said institution so long as such character of expense or liabilities or operation shall continue, such amounts so withheld to be in whole or in part either accumulated and applied to the purposes of such University in any future year or years, or utilized for the other objects of this Indenture, or added to the corpus of this trust for the purpose of increasing the principal of the trust estate, as the Trustees may determine.

III. (In Article SEVENTH) I have selected Duke University as one of the principal objects of this trust because I recognize that education, when conducted along sane and practical, as opposed to dogmatic and theoretical, lines, is, next to religion, the greatest civilizing influence. I

request that this institution secure for its officers, trustees, and faculty, men of such outstanding character, ability, and vision as will insure its attaining and maintaining a place of real leadership in the educational world, and that great care and discrimination be exercised in admitting as students only those whose previous records show a character, determination, and application evincing a wholesome and real ambition for life. And I advise that the courses at this institution be arranged, first, with special reference to the training of preachers, teachers, lawyers and physicians, because these are most in the public eye, and by precept and example can do most to uplift mankind, and second, to instruction in chemistry, economics, and history, especially the lives of the great of earth, because I believe that such subjects will most help to develop our resources, increase our wisdom and promote human happiness.

IV. (In Article THIRD) as respects any year or years and any purpose or purposes for which this trust is created (except the payments hereinafter directed to be made to Duke University) the Trustees in their uncontrolled discretion may withhold the whole or any part of said incomes, revenues and profits which would otherwise be distributed under the "Fifth" division hereof, and either (1) accumulate the whole or any part of the amount so withheld for expenditures (which the Trustees are hereby authorized to make thereof) for the same purpose in any future year or years, or (2) add the whole or any part of the amounts so withheld to the corpus or the trust, or (3) pay, apply and distribute the whole or any part of said amounts to and for the benefit of any one or more of the other purposes of this trust, or (4) pay, apply and distribute the whole or any part of said amounts to or for the benefit of any such like charitable, religious or educational purpose within the State of North Carolina or the State of South Carolina, or any such like charitable hospital purpose which shall be selected therefor by Trustees called for the purpose, complete authority and discretion in and for such selection and utilization being hereby given the Trustees in the premises.

2. THE CHARTER OF THE UNIVERSITY

Section 1. That A. P. Tyer, J. H. Southgate, B. N. Duke, G. A. Oglesby, V. Ballard, J. A. Long, J. F. Burton, J. N. Cole, F. A. Bishop, J. G. Brown, C. W. Toms, J. W. Alspaugh, W. R. Odell, J. A. Gray, F. Stikeleather, Kope Elias, S. B. Turrentine, P. H. Hanes, T. F. Marr, G. W. Flowers, M. A. Smith, R. H. Parker, W. J. Montgomery, F. M. Simmons, O. W. Carr, R. A. Mayer, N. M. Jurney, Dred Peacock, B. B. Nicholson, W. G. Bradsher, E. T. White, T. N. Ivey, J. B. Hurley, R. L. Durham, W. C. Wilson, and their associates and successors shall be, and continue as they have been a body politic and corporate under the name and style of DUKE UNIVERSITY, and under such name and style shall have perpetual existence and are hereby invested with all the property and rights of property which now belong to the said corporation, and said corporation shall henceforth and perpetually, by the name and style of DUKE UNIVERSITY, hold and use all the authority, privileges, and possessions it had or exercised under any former title and name, and be subject to all recognized legal liabilities and obligations now outstanding against such corporations.

Section 2. That such corporation is authorized to receive and hold by gift, devise, purchase or otherwise, property, real and personal, to be held for the use of said University and its dependent schools or for the use of either or both (as may be designated in the conveyance or will).

Section 3. That the Trustees shall be thirty-six in number of whom twelve shall be elected by the North Carolina Conference of the M. E. Church, South; twelve by the W. N. C. Conference of the said church; and twelve by the graduates of said University; *Provided*, however, That no person shall be elected a Trustee till he has first been recommended by a majority of the Trustees present at a regular meeting, and the Trustees shall have power to remove any member of their body who may remove beyond the boundary of the State or who may refuse or neglect to discharge the duties of a Trustee. The term of office of Trustees shall be six years, and they shall be so arranged that four Trustees shall be elected by each Conference and four by the graduates every two years. The Trustees shall regulate by bylaws the manner of election of Trustees to be chosen by the graduates. Should there exist a vacancy by death, resignation, or otherwise of any Trustee, the same shall be filled for the unexpired term by the Board of Trustees. That the present Trustees shall continue and remain in office during the term for which they have been heretofore respectively elected.

Section 4. That the said corporation shall be under the supervision, management and government of a president and such other persons as said Trustees may appoint; the said president, with the advice of other persons so appointed, shall from time to time make all needful rules and regulations for the internal government of said University and prescribe the preliminary examinations and terms and conditions on which pupils shall be received and instructed.

Section 5. That said Trustees shall have power to make such rules, regulations, bylaws not inconsistent with the Constitution of the United States and of this State, as may be necessary for the good government of said University and management of the property and funds of the same.

Section 6. That the Trustees shall have power to fix the time of holding their annual and other meetings, to elect a president and professors for said University, to appoint an executive committee to consist of not less than seven members, which committee shall control the internal regulations of said University and fix all salaries and emoluments, and to do all other things necessary for an institution of learning not inconsistent with the laws of this State and of the United States.

Section 7. That the Faculty and Trustees shall have the power of conferring such degrees and marks of honor as are conferred by colleges and universities generally; and that five Trustees shall be a quorum to transact business.

Section 8. That all laws and parts of laws or of the charter heretofore granted which are in conflict with this act are hereby repealed.

Section 9. That this act shall be in force from and after its ratification and acceptance by the Board of Trustees.

3. THE BYLAWS OF THE UNIVERSITY

Article I. Aims

1. The aims of Duke University are to assert a faith in the eternal union of knowledge and religion set forth in the teachings and character of Jesus Christ, the Son of God; to advance learning in all lines of truth; to defend scholarship

against all false notions and ideals; to develop a Christian love of freedom and truth; to promote a sincere spirit of tolerance; to discourage all partisan and sectarian strife; and to render the largest permanent service to the individual, the state, the nation, and the church. Unto these ends shall the affairs of this University always be administered.

Article II. Board of Trustees

1. Powers. All powers of the University shall be vested in a Board of Trustees consisting of thirty-six elected members.

2. Nomination and elections. The Trustees shall be elected as follows: twelve by the North Carolina Conference of the Methodist Church; twelve by the Western North Carolina Conference of the Methodist Church; and twelve by the graduates of Duke University. Each year a roster of nominees shall be referred to the Board by a committee of two faculty members elected by the principal faculty council, two students elected by the principal student council, the president of the Alumni Association and the President of the University as Chairman. The President shall add to the roster nominees proposed by individual students, faculty members and Trustees. For positions to be filled by the graduates of Duke University, the President shall place on the roster nominees proposed by the officers of the National Council and of the General Alumni Association. The Board, after hearing the recommendations of the Executive Committee, and by a majority of the Trustees present at any regular meeting, shall recommend the persons to be elected Trustees and submit its recommendations to the appropriate conference of the Methodist Church and the graduates.

No person who shall have attained the age of seventy years shall be elected a Trustee.

3. Term. The term of office of a Trustee shall be six years, beginning on the first day of January following election. Terms shall be so arranged that four Trustees shall be elected by each Conference and four by the graduates every two years. No person shall serve more than two consecutive six-year terms, with renewed eligibility for election to the Board following not less than two years absence of membership; provided that Trustees presently (September, 1970) serving a second full term are eligible for re-election for one additional term without an absence of two years.

4. Vacancies. Any vacancy in the membership of the Board shall be filled for the unexpired term by a majority vote of the Trustees present at a regular meeting of the Board from the roster of nominees.

5. Retirement. A Trustee shall retire on the first day of January after he attains the age of seventy, provided however, that Trustees serving on the Board as of September 1970 may complete their current terms. A Trustee who would attain the age of seventy years during a two-year period of ineligibility shall retire at the end of the term for which he was elected.

6. Emeritus. The Board may elect a retiring Trustee a Trustee Emeritus. Trustees Emeriti shall be entitled to receive notice of all meetings of the Board and attend and participate in such meetings, but shall not have the right to vote. Trustees Emeriti shall be eligible for membership on any standing committee other than the Executive Committee.

7. Removal. Any Trustee who may refuse or neglect to discharge the duties of a Trustee may be removed by the affirmative vote of three-fourths of the members of the entire Board of Trustees.

Article III. Meetings of the Board

1. Annual Meeting. Annual meetings of the Board of Trustees shall be held on the day next preceding the day on which the graduation exercises take place.

2. Regular Meetings. Regular meetings of the Board shall be held on the Saturday preceding the day on which Founders' Day is celebrated, and on the first Friday in March.

3. Special Meetings. Special meetings shall be held upon the call of the Chairman, or upon written request of twelve or more Trustees addressed to the Secretary, with a copy to the Chairman specifying the business to be transacted at the meeting.

4. Notice. The Secretary shall give at least five days' notice to each member of the Board stating the time and place of all meetings, and the purpose of any special meeting.

5. Place. All meetings of the Board of Trustees shall be held at Duke University in the City of Durham, North Carolina, except that the Trustees by vote, or written assent, of a majority of the then members of the Board may designate another place for any meeting.

6. Quorum. A majority of the then members of the Board of Trustees shall be a quorum for the transaction of business.

Article IV. Officers of the Board

1. Officers of the Board. The officers of the Board shall be a Chairman, a Vice Chairman and a Secretary.

2. Election. The officers of the Board of Trustees shall be elected at its annual meeting for a term of one year or until their successors are elected and qualified.

3. Duties.

   a. The Chairman shall preside at all meetings of the Board, shall represent the Trustees at public meetings of the University, and shall be a member of and Chairman of the Executive Committee.
   b. The Vice Chairman shall perform the duties of the Chairman in the absence or disability of the Chairman, or in the event of a vacancy in that office.
   c. The Secretary of the University shall also be the Secretary of the Board of Trustees. He shall record the minutes of all meetings of the Board and its Executive Committee, and shall have custody of the Charter, Bylaws, minutes, records and other documents of the Board and its Committees. The Secretary shall send a copy of the minutes to each member of the Board promptly after each meeting of the Board and of the Executive Committee.

4. Vacancies. A vacancy in any office of the Board of Trustees may be filled for the unexpired term by the Board of Trustees.

Article V. Committees of the Board

1. Committees. The standing committees of the Board shall be:

   a. The Executive Committee
   b. The Business and Finance Committee
   c. The Building and Grounds Committee
   d. The Institutional Advancement Committee
   e. The Academic Affairs Committee

The Board may authorize other committees from time to time.

2. Membership. At each annual meeting, the Board of Trustees shall elect the Chairmen (who shall be Trustees) and other members of the standing committees to serve for the ensuing year. The Chairman of the Board, the Vice Chairman of the Board and the President of the University

shall be members of the Executive Committee. The President of the University shall be a member of all other standing committees of the Board.

Nominations of faculty and student members shall be from lists of prospects developed by the President in consultation with representative student and faculty groups.

The number of Trustee members and non-Trustee members of any standing committee shall be determined by the Board of Trustees after receiving the recommendation of the committee chairman, and the Trustees may authorize and elect such committee members at any meeting in addition to the annual meeting.

Insofar as practical, membership on the standing committees should be rotated.

The Committees of the Board shall have the powers and duties set forth in these Bylaws and such other powers and duties as the Board may delegate to them. They shall exercise their powers and perform their duties subject to the direction and approval of the Board. They may from time to time make recommendations to the Board for the establishment of new policies or any changes in existing policies, but without decision-making authority except pursuant to specific delegation by the Board or the Executive Committee.

3. Vacancies. Any vacancy in the membership of a standing committee shall be filled by the Chairman of the Board of Trustees after consultation with the President of the University.

4. Meetings. Each standing committee shall meet at such times and places and upon such notice as it may determine, and shall file a copy of the minutes of each meeting with the Secretary of the University.

5. Quorum. A majority of the then members of a standing committee shall be a quorum for the transaction of business.

Article VI. Executive Committee

1. Membership. The Chairman of the Board (to serve as Chairman), the Vice Chairman of the Board (to serve as Vice Chairman), the President of the University, the Chairman of each standing committee, and not more than three Trustee members at large shall constitute the Executive Committee of the Board.

2. Powers and Duties. The Executive Committee shall:

a. Subject to the provisions of the Charter and these Bylaws exercise all powers of the Board of Trustees in the interim between meetings of the Board.
b. Appoint an Investment Committee of not less than five members, at least two of whom shall be Trustees, with the other members being selected from Trustees and officers of Duke University, and Trustees and officers of The Duke Endowment, with such powers and duties as may be assigned to it by the Executive Committee.
c. Coordinate the activities of the other standing committees.
d. Exercise other duties as prescribed in the Charter or as may be delegated by the Board of Trustees.
e. Report its actions to the Board of Trustees.

Article VII. Business and Finance Committee

1. Membership. The Business and Finance Committee shall be composed of not less than four Trustees, at least one faculty member, at least one student and the Vice President for Business and Finance, ex officio.

2. Powers and Duties. The Business and Finance Committee shall:

a. Keep informed on, consider proposals for, and make recommendations with respect to, the general business affairs and financial organization of the University.
b. Receive and review the annual budgets and recommend their approval or modification.
c. Maintain an ongoing analysis and review of monthly operating statements, periodic construction summary, and internal audit reports.
d. Recommend the annual appointment of independent auditors. Receive the annual report of the auditors and submit it with recommendations for action.

The Committee shall report its findings and recommendations to the Board of Trustees or the Executive Committee.

Article VIII. Building and Grounds Committee

1. Membership. The Building and Grounds Committee shall be composed of not less than five Trustees, at least one faculty member, at least one student, and the Vice President for Business and Finance, ex officio.

2. Powers and Duties. The Building and Grounds Committee shall consider proposals for, and make recommendations with respect to:

a. Siting of all buildings and related appurtenances such as utilities, roads, and parking areas.
b. Commissioning of Project Architects and Engineers, and approval of proposed Contractors for construction projects.
c. Evaluation and promulgation of continuing Master Plan for long-range development of the total physical environment of the University, including inherent standards of aesthetics and quality.
d. Evaluation of design characteristics of individual projects for adherence to established standards.
e. Major renovation work.
f. Naming of facilities and parts of facilities.

The Committee shall review priorities for construction and shall have authority to accept all new construction on behalf of the University, but shall not incur any expenses not previously authorized by the Board of Trustees or the Executive Committee.

The Committee shall report its findings and recommendations to the Board of Trustees or the Executive Committee.

Article IX. Institutional Advancement Committee

1. Membership. The Institutional Advancement Committee shall be composed of not less than five Trustees, at least one faculty member, at least one student, and the Vice President for Institutional Advancement, ex officio. Not less than three of the Trustee members shall be alumni of the University.

2. Powers and Duties. The Institutional Advancement Committee shall consider proposals for, make recommendations with respect to, and assist the President in, the financial development, fund raising, public relations, and alumni affairs of the University, and carry out other projects and assignments as directed by the Board.

The Committee shall report its findings, recommendations and results to the Board of Trustees or the Executive Committee.

Article X. Academic Affairs Committee

1. Membership. The Academic Affairs Committee shall be composed of not less than six Trustees, not less than

two faculty members, not less than two students, and the Provost, ex officio.

2. Powers and Duties. The Academic Affairs Committee shall:

a. Consider proposals for, and make recommendations with respect to, the educational role of each school, college, and unit of the University and for the University as a whole; provisions for the admission of students at all levels, student life and activities; educational, research, and library programs; and the coordination of all educational activities.
b. Promote and coordinate activities of the Boards of Visitors, review their findings, and transmit their reports to the President, and to the Board of Trustees. The President shall appoint the members of the Boards of Visitors.
c. Designate five Trustees from this Committee who, along with an equal number of faculty members designated by the President, and the President, ex officio, shall serve as a Committee on Honorary Degrees to make recommendations to the University faculty and the Board of Trustees.
d. Serve as a Committee on Earned Degrees.
e. Serve as liaison with the University faculty with respect to academic affairs.

The Committee shall report its findings and recommendations to the Board of Trustees or the Executive Committee.

Article XI. Officers of the University

1. The Officers of the University shall be a President, a Chancellor, a Provost, a Vice President for Business and Finance, a Vice President for Institutional Advancement, one or more other Vice Presidents, a Treasurer, a Secretary, a University Counsel, and such other officers as the Board of Trustees may elect. One person may hold more than one office, except that the offices of President and Secretary may not be held by the same person.

2. These officers shall be elected by the Board of Trustees at its annual meeting for a term of one year and shall serve until their successors are elected and have taken office.

3. A vacancy in any office of the University may be filled, for the un-expired term, by the Board of Trustees or by the Executive Committee.

Article XII. President

1. The President shall be the chief educational and administrative officer of the University. He shall be responsible to the Board of Trustees for the supervision, management, and government of the University, and for interpreting, and carrying out the policies of the Board of Trustees. He shall have the powers and duties as the Board of Trustees shall delegate to him.

2. He, or someone designated by him, shall preside at all academic functions and represent the University before the public.

3. He shall preside at all meetings of the University Faculty. He may veto any action taken by the University Faculty or any action taken by the faculty of any college or school in the University and state his reasons for such action.

4. He shall submit a proposed annual budget for the University to the Executive Committee prior to the beginning of the fiscal year covered by the budget.

5. He shall submit to the Board of Trustees an annual report on the condition, operations and needs of the University.

6. He shall recommend to the Board of Trustees persons to be officers of the University other than the President.

Article XIII. Chancellor

1. The Chancellor, under the President, shall exercise the powers and duties of the President as delegated by the President from time to time.

2. He shall assume the powers and duties of the President during the incapacity or absence of the President when specifically authorized by the President or the Board of Trustees, or in case of a vacancy in the Office of President.

Article XIV. Provost

1. The Provost shall be an executive officer of the University, under the President, responsible for all educational affairs and activities, including research, and for all aspects of student activity and welfare. He shall have the powers and duties assigned to him by the President and shall report to the President.

2. He shall be a member of the faculty of each college and school, and ex officio a member of each committee (other than Committees of the Board of Trustees) or other body concerned with matters for which he is responsible.

3. He shall receive recommendations developed by the faculty and educational officers for consideration and recommendation to the President.

Article XV. Vice President for Business and Finance

1. The Vice President for Business and Finance shall be an executive officer, under the President, responsible for all business and finance, including accounting and auditing, preparation of budgets, fiscal planning, and operating of services of the University. He shall have the power and duties assigned to him by the President and shall report to the President.

2. He shall have custody of all records, contracts, agreements, deeds, and other documents of the University or relating to its operations or properties, except minutes of meetings.

3. He shall submit to each regular meeting of the Executive Committee a report on those aspects of the finances of the University that the Executive Committee may require, and shall submit to the Board of Trustees at the end of each fiscal year an account of all receipts and disbursements for the preceding year and a statement in such detail as the Board of Trustees may require of the financial condition of the University at the end of such year.

4. He and the personnel under him shall be bonded to the extent determined by the Executive Committee.

Article XVI. Vice President for Institutional Advancement

The Vice President for Institutional Advancement shall be an executive officer, under the President, responsible for all public and alumni relations, fund raising and long range planning and development. He shall have the powers and duties assigned to him by the President and shall report to the President.

Article XVII. Treasurer

1. The Treasurer shall report to the President or such officer of the University as the President may direct and shall have the powers and duties assigned to him by the President or such other officer.

2. He may receive and disburse investment funds and purchase, sell, or otherwise dispose of investment securities pursuant to the directions of the Executive Committee or Investment Committee, as the case may be.

3. He and the personnel under him shall be bonded to the extent determined by the Executive Committee.

Article XVIII. Secretary

1. The Secretary, under the President, shall have all of the powers and duties set forth in these Bylaws and the powers and duties commonly incident to his office. He also shall have the powers and duties assigned to him by the President and shall report to the President.

2. He shall be the custodian of the seal of the corporation and shall affix and attest to same on all duly authorized contracts, deeds, and other documents.

3. He shall maintain an official roster setting forth the status of all persons employed by the University.

Article XIX. University Counsel

The University Counsel shall be the legal advisor to the University and shall be responsible for all matters of a legal nature concerning the University, including litigation, preparation or approval of all contracts, deeds, conveyances, or other documents.

Article XX. Faculty

1. The University Faculty shall be composed of the President, the Chancellor, the Provost, the Vice Presidents, the Secretary (who shall also be the Secretary of the Faculty), all deans, professors, associate professors, and assistant professors, and all other full-time members of the instructional staff who are not candidates for degrees at Duke University, Registrar, and the University Librarian, and such other persons as may be designated by the President and approved by the Executive Committee or the Board of Trustees.

2. The University Faculty shall be responsible for the conduct of instruction and research in the various colleges and schools in the University. It may also consider and make recommendations to the President regarding any and all phases of education at the University.

3. The University Faculty shall approve and recommend to the Board of Trustees the persons it deems fit to receive degrees or other marks of distinction, and the establishment of any new degree or diploma.

4. The University Faculty may organize and exercise its functions through appropriate councils, committees, or other bodies.

5. Each college and school in the University may have a faculty of its own, which shall be composed of the President, the Chancellor, the Provost, the Secretary, and all members of the University Faculty in the particular college or school. Each such faculty shall function under the President and other officers of educational administration and subject to the regulations of the University Faculty.

Article XXI. Appointments, Promotions and Tenure

1. Members of the University Faculty shall be elected, appointed, or promoted by the Board of Trustees or the Executive Committee upon the recommendation of the Provost, with the approval of the President.

2. Members of the University Faculty, above the rank of instructors, shall have tenure after seven years of continuous service at the University, or such shorter period as may be determined for individual cases by the Board of Trustees or the Executive Committee; provided that any such person shall be subject to dismissal by the Board of Trustees or the Executive Committee for misconduct or neglect of duty.

Article XXII. Sabbatical Leaves

1. Each member of the University Faculty of the rank of professor, associate professor, or assistant professor shall be eligible for sabbatical leave after each six years of service to the University. Such leave may be taken for a full year at half salary or a half year at full salary.

2. Sabbatical leave may be granted by the Executive Committee upon the written recommendation of the dean of the appropriate college or school, approved by the Provost and the President.

Article XXIII. Retirement

1. All members of the faculty of the University who are eligible for or participate in the TIAA Plan and who would attain the age of seventy years prior to March 1 of a given academic year shall retire at the end of the preceding academic year and all such members of the faculty who attain the age of seventy years on or after March 1 in a given academic year shall retire at the end of such academic year.

2. The retirement and annuity plan adopted by the University on October 1, 1925, is hereby amended in those respects required to conform with the provisions of the Bylaws.

Article XXIV. Fiscal Year, Academic Year and Academic Calendar

1. The fiscal year of the University shall commence on July 1 and end on the following June 30.

2. The academic year of the University shall commence on September 1 and end on the following August 31.

3. The President shall establish the academic calendar for each academic year, and designate the day on which the graduation exercises shall take place.

Article XXV. Amendment of Bylaws

These Bylaws may be amended at any regular meeting of the Board of Trustees by the affirmative vote of two-thirds of the then membership of the Board, provided that the proposed amendment is mailed by the secretary of the Board to each member at least twenty days before the meeting.

APPENDIX II: Bylaws of the University Faculty

I. The University Faculty shall meet regularly in October and before Commencement. It shall meet at other times at the call of the President or the Provost or upon the written request of the Executive Committee of the Academic Council or of fifty Faculty members. (Adopted October 15, 1968.)

II. **PROCEDURES FOR AMENDING BYLAWS OF THE UNIVERSITY FACULTY**

The bylaws of the faculty may be amended by a majority vote of those present at a meeting, provided the text of the proposed amendment has been circulated to the members at least ten days in advance of the meeting.

III. **BYLAWS OF THE UNIVERSITY FACULTY ON COMMITTEES**

A. Appointment to membership on committees voted by the University faculty shall be made by the President with advice from the Committee on Committees.

B. Committees of the Academic Council shall be appointed by its Chairman upon the nomination of the Committee on Committees.

C. In order to expedite the business of the faculty and the Academic Council, appointment to committees voted by either group shall be made within thirty days after nomination.

On December 14, 1962, in accordance with the bylaws of the University, the University faculty approved the following bylaw to establish the Academic Council and to establish regulations for its operation.

BYLAWS OF THE UNIVERSITY FACULTY PERTAINING TO THE ACADEMIC COUNCIL

I THE CREATION OF THE COUNCIL AND PROCEDURES FOR ELECTION TO THE COUNCIL

A. The Composition of the Academic Council

There shall be an Academic Council composed as follows:

1. The President, Chancellor, and Provost as ex officio members (as amended October 30, 1969).
2. Members elected by the various divisions of the faculty of arts and sciences, the clinical and basic sciences divisions of the School of Medicine, and each of the other professional schools on the basis of one council member for each eight members of the faculty within a division or school. When there is a remaining fraction, four or more shall be considered a whole. In no event shall any division or school elect more than ten members or be without one member. (As amended March 25, 1971.)

B. Mode of Election

1. Elections shall be under the general control and supervision of an Election Committee of the faculty. The secretary of the faculty shall be an ex officio member of this committee.
2. All nominations and elections of the Academic Council shall be by secret ballot.
3. In each division or school there shall first be a nominating ballot and thereafter an election ballot. The nominating ballot shall designate those members of the division or school who will be on leave or otherwise unavailable for service on the Council for the term of office.
4. When a division or school is entitled to ten members, each faculty member shall cast a *nominating* ballot containing twelve names, of which at least one shall be that of an assistant professor, or instructor (associate in the Medical Center), and at least three those of associate professors. A nominating ballot not containing the name of an assistant professor, or instructor (associate in the Medical Center), and three associate professors and twelve names in all shall be invalid. From the nomi-

nating ballot, an *election* ballot shall be prepared listing the two among the assistant professors, or instructors (associate in the Medical Center) receiving the largest number of votes, the six associate professors receiving the largest number of votes, and the twelve other faculty members receiving the largest number of votes. Faculty members shall then vote for at least one assistant professor, or instructor (associate in the Medical Center), for at least three associate professors, and for twelve in all. A ballot not conforming to this requirement shall be invalid. The assistant professor, or instructor (associate in the Medical Center), the three associate professors, and the six others receiving the largest number of votes shall be declared elected. The two others receiving the largest number of votes shall be declared alternates. (As amended October 29, 1970.)

5. When a division or school is entitled to elect fewer than ten members, such school or division shall not be bound to achieve a distribution of ranks. Otherwise, the mode of election prescribed in paragraph 4 shall be followed, except that there shall be only one alternate. (As amended October 29, 1970.)

C. Time of Elections

Elections shall regularly be held immediately after the spring vacation, and the first meeting of the new Council shall be held in May. Special elections to fill vacancies may be held at any time when needed. The Executive Committee shall be elected annually at the May meeting. (Adopted February 27, 1969.)

D. Term of Office

The term of office shall be two years. No member shall be eligible for election for more than three successive full terms. (As amended October 29, 1970.) The term of members elected to the Council in 1962, however, shall expire in 1963.

E. Vacancies

When it appears that an elected member will be absent from the Council for as much as a semester, a vacancy shall be declared to exist which shall be filled for the unexpired term by an alternate from the school or division with the vacancy, called upon in the order of the largest number of votes received. If there is no alternate, a special election shall be held within the appropriate school or division to fill such unexpired term. (As amended October 29, 1970.)

F. General Provisions

1. Members of the Council shall serve in person. No deputy shall be allowed to attend meetings of the Council.
2. The Council is authorized to make special regulations when this bylaw is found to be impracticable, provided the circumstances are reported to the next meeting of the faculty.
3. A simple majority of the members of the Council shall constitute a quorum.

II. THE ORGANIZATION OF THE COUNCIL

A. The Academic Council shall nominate and elect annually by secret ballot a chairman, a vice chairman, and a secretary from its members. These officers, with four other councilmen chosen in the same manner, shall constitute the Executive Committee of the Council.

B. The term of office of the members of the Executive Committee shall be one year. In the event of a vacancy, the Council at its next meeting shall elect a person to fill out the term.

C. The Executive Committee shall serve as the Committee on Committees for both the Council and the University faculty. The Executive Committee may set up such *ad hoc* committees of the Council as it finds needed. Members of the committees shall be drawn principally from the Council and faculty, but other persons may be appointed.

III. MEETINGS OF THE ACADEMIC COUNCIL

The Academic Council shall meet each month, September through May, and at other times at the call of its Chairman or Executive Committee or upon the written request of ten of its members. (Adopted October 15, 1968.)

IV. RESPONSIBILITIES OF THE ACADEMIC COUNCIL WITH RESPECT TO HONORARY DEGREES

On June 4, 1965, the Academic Council was given additional responsibility by the faculty with the passage of the following motion: "that the University faculty delegate its function in the approval and recommendation of nominees for honorary degrees to the Academic Council, and that the University faculty also authorize the Academic Council to adopt procedures suitable for performing this function."

APPENDIX III: Bylaws of the Undergraduate Faculty of Arts and Sciences

BYLAWS OF THE UNDERGRADUATE FACULTY OF ARTS AND SCIENCES

I. **Membership.** The Undergraduate Faculty of arts and Sciences shall be composed of the President, the Chancellor, the Provost, the Secretary, the Dean of Undergraduate Education, and the members of the faculty whose Academic Council constituencies are Humanities, Social Sciences, or Natural Sciences (with one exception, that the faculty of the Graduate School of Business Administration shall be included among the faculty of the Department of Management Sciences).

II. **Meetings.** The Undergraduate Faculty of Arts and Sciences shall meet at the call of the Dean of Undergraduate Education or upon the written request to him of the Executive Committee of the Undergraduate Faculty Council of Arts and Sciences or of thirty faculty members. The agenda shall be circulated at least five days in advance of the meeting.

III. **Membership of Committees.** Appointment to membership on committees authorized by the Undergraduate Faculty of Arts and Sciences shall be made by the Dean of Undergraduate Education with advice from the Committee on Committees of the Undergraduate Faculty Council of Arts and Sciences.

IV. **Amendment of Bylaws.** The bylaws of the Undergraduate Faculty of Arts and Sciences may be amended by a majority vote of those present at a meeting, provided the text of the proposed amendment has been circulated to the members at least ten days in advance of the meeting.

BYLAWS OF THE UNDERGRADUATE FACULTY OF ARTS AND SCIENCES PERTAINING TO THE UNDERGRADUATE FACULTY COUNCIL OF ARTS AND SCIENCES

I. **The Functions of the Undergraduate Faculty Council of Arts and Sciences.** The functions of the Undergraduate Faculty Council of Arts and Sciences (hereinafter referred to as the Council) shall be:

1. To determine and implement the broad objectives of the undergraduate education in Trinity College and The Woman's College.
2. To encourage the achievement and maintenance of high standards of teaching and scholarship in Trinity College and The Woman's College.
3. To legislate on curricular programs and to adopt academic regulations for Trinity College and The Woman's College.
4. To consider all other matters affecting the academic life and the learning environment of students in Trinity College and The Woman's College and to make recommendations and adopt regulations where appropriate.
5. To adopt admissions policies for Trinity College and The Woman's College and to advise on financial aid to students in these colleges.
6. To develop appropriate means of encouraging and recognizing academic achievement of superior quality among students in Trinity College and The Woman's College.

II. **The Creation of the Council and Procedures for Election to the Council.**

A. The Composition of the Council

Members of the Council shall be elected by the faculty in the departments in arts and sciences according to the following formula:

1. Each department in arts and sciences shall elect two representatives to the Council except that military training departments shall be represented only by the senior officer of each department or his alternate.
2. For each five (or major fraction thereof) faculty members in excess of the first five, each department shall elect an additional representative.
3. The faculty roster of each department shall be that kept by the Secretary of the Uni-

versity and shall consist only of faculty whose Academic Council constituencies are Humanities, Social Sciences, or Natural Sciences (with one exception, that the faculty of the Graduate School of Business Administration shall be included among the faculty of the Department of Management Sciences in the constituency of the Social Sciences).

B. Time of Elections

Elections shall regularly be held immediately after the spring vacation, and the first meeting of the new Council shall be held in April. Special elections to fill vacancies may be held at any time when needed. The Executive Committee shall be elected at the April meeting.

C. Term of Office

The term of office shall be one year.

III. Meetings of the Council

A. The Council shall meet each month, September through April, and at other times at the call of the Dean of Undergraduate Education or of the Executive Committee or upon written request to him of ten of its members.

B. The presiding officer of the Council shall be the Dean of Undergraduate Education who may cast a vote in the case of a tie. In his absence the Chairman of the Executive Committee shall preside.

C. Members of the Council shall serve in person. No voting shall be allowed by deputy or proxy except for departments restricted to one representative.

D. A simple majority of the members of the Council shall constitute a quorum.

E. The agenda shall be mailed, at least five days in advance of the meetings, to all members of the Council and other persons who request it. Council action of a legislative nature shall be limited to the agenda except by recommendation of a majority of the members of the Executive Committee.

F. Any person may be allowed to participate in discussion at the discretion of the presiding officer.

IV. The Executive Committee of the Council

A. The Council shall nominate and elect by secret ballot six of its members (two each from the Humanities, Social Sciences, and the Natural Sciences) to serve as an Executive Committee. The Dean of Undergraduate Education shall be a member of this Committee.

B. The term of office of the members of the Executive Committee shall be one year. In the event of a vacancy, the Council at its next meeting shall elect a person to fill out the term.

C. The Dean of Undergraduate Education shall convene annually the initial meeting of the Executive Committee and conduct the election of its Chairman. The Chairman will be one of the elected members of the Committee.

D. The functions of the Executive Committee shall be:

1. To serve as the Committee on Committees and as the Agenda Committee for both the Council and the Undergraduate Faculty of Arts and Sciences.
2. To designate a secretary of the Faculty of Arts and Sciences and the Executive Committee.
3. To engage in overall planning of matters affecting the academic life and the learning environment of students in Trinity College and The Woman's College and to make appropriate recommendations to the Council, other committees, and the administration.
4. To review and coordinate the activities of the other committees of the Council.
5. To serve as a liaison committee with the School of Engineering, the School of Nursing, and other appropriate groups or persons.
6. To accept the responsibility designated to it by the Council.

V. Committees. The Council may exercise its function through appropriate committees.

APPENDIX IV: Academic Freedom and Academic Tenure

Based upon the work of a special committee of the Academic Council, the following statement of policy and procedures was adopted by the University Planning and Policy Advisory Committee and accepted by the President:

Duke University has had a long history of responsible academic freedom in which it takes justifiable pride. Academic freedom and academic tenure provide the security within the University to pursue the search for truth and its exposition which are essential to the furthering of human knowledge and to the continued intellectual growth of the faculty and the students. Therefore the President and the Academic Council of Duke University reaffirm the basic principles of academic freedom and recognize specific procedures for achieving and preserving academic tenure.

I. ACADEMIC FREEDOM

A member of the instructional staff is free:

A. To teach and to discuss in his classes any aspect of a topic pertinent to the understanding of the subject matter of the course which he is teaching.

B. To carry on research and publish the results subject to the adequate performance of his other academic duties.

C. To act and to speak in his capacity as a citizen without institutional censorship or discipline.

II. ACADEMIC TENURE

A. Academic tenure may be achieved for a specific period of time in the case of "term appointments" or indefinitely in the case of "continuous academic tenure appointments." Article XXI, paragraph 2 of the University bylaws states: "Members of the University faculty, above the rank of instructors, shall have tenure after seven years of continuous service at the University, or such shorter period as may be determined for individual cases, by the Board of Trustees or the Executive Committee; provided that any such person shall be subject to dismissal by the Board of Trustees or the Executive Committee for misconduct or neglect of duty."

B. Nominations for appointment or promotion to rank of associate professor or professor on the faculty of Duke University for full-time service, unless the duration of the appointment is stated in writing, normally will include a recommendation that the nominee receive continuous academic tenure.

C. An assistant professor with continuous full-time service at Duke University for a total period of seven years in the rank of assistant professor or instructor (associate in the Medical School) and whose appointment extends beyond the seventh year of full-time service, attains continuous academic tenure at the beginning of his eighth year of service. A full-time assistant professor may be granted continuous academic tenure before completing seven years of full-time continuous service at the University by specific action of the Executive Committee of the Board of Trustees. Consideration may be given to the years of service at other institutions of higher learning in awarding continuous academic tenure before completing seven years of full-time continuous service at the University by specific action of the Executive Committee of the Board of Trustees. Consideration may be given to the years of service at other institutions of higher learning in awarding continuous academic tenure at Duke University.

D. Persons holding administrative positions achieve academic tenure by reason of their academic instructional rank as provided by paragraphs B and C above.

E. A faculty member who has been granted continuous academic tenure will not lose his tenure status if, with mutual consent of, and periodic review by, the University and the faculty member, he transfers to a part-time service.

III. MUTUAL OBLIGATIONS

The principles of academic freedom and academic tenure impose certain obligations both upon Duke University and upon the members of its faculty.

A. The University will give a faculty member at the time of his appointment a precise statement in writing of the conditions of his appointment.

B. The University may terminate the appointment of a full-time academic staff member having a term appointment prior to the expiration of the appointment, or may terminate the appointment of an academic staff member having continuous academic tenure prior to his retirement, for misconduct, or neglect of duty; or because of a change in the academic program, made with the advice of the appropriate body or bodies of the faculty, as a consequence of a University-wide financial exigency or for any other reason which discontinues or reduces a segment of the University's research or educational program. Whenever an appointment is terminated because of a decision not to continue a segment of the research or educational program, every effort will be made to reassign the academic staff involved to other University programs. If an academic position is terminated, it will not be re-established and filled with new academic staff within a period of two years unless the appointment has been offered to the staff member who was originally displaced and he has declined the appointment.

C. In case of the termination of a term appointment prior to its stated expiration date because of a change in the academic program and in case reassignment to another position is not feasible, the University will pay the incumbent one academic year's salary or will notify him one year prior to the date on which the appointment will be terminated.

D. In case a term appointment of two years or longer is not renewed, the University will notify the incumbent of its intention not to renew the appointment not later than, and preferably prior to, the August 31 preceding the termination of the appointment.

E. In case of the termination of a continuous academic tenure appointment, the University will pay the incumbent one academic year's salary or will notify him one year prior to the date on which the appointment will be terminated.

F. The University will not extend the appointment of a full-time teaching instructor (associate in the Medical School) for more than seven years except in unusual circumstances which are to the advantage of the instructor.

G. As a member of a learned profession, a faculty member of Duke University should remember that the public may judge his profession and his institution by his actions. He should also remember that in a deeper sense he cannot separate his freedom as a member of the academic community from his responsibility as a privileged member of society. While the University will always protect his freedom to espouse an unpopular cause, he has a responsibility not to involve the University. Hence, when speaking, writing, or acting in his capacity as a private citizen, he should make every effort to indicate that he is not a spokesman or a representative of the University.

H. A faculty member who resigns voluntarily should give due consideration to the problem that may arise in obtaining a replacement and should fix the effective date of his resignation with this commitment in mind.

I. A faculty member should devote his professional efforts primarily to the promotion of the academic objectives of the University.

IV. THE FACULTY HEARING COMMITTEE

A. An academic staff member may, if he so desires, appeal to a Hearing Committee for a hearing on all questions regarding dismissal for misconduct or neglect of duty, termination of appointment prior to the expiration date, and tenure status. The Hearing Committee shall adapt the procedures delineated in Part V as it deems appropriate when the subject of the hearing is a matter other than dismissal for misconduct or neglect of duty.

B. The Hearing Committee shall consist of five disinterested faculty members with continuous tenure selected as follows: The Executive Committee of the Academic Council annually shall nominate a panel of nine faculty members with continuous tenure from which the Academic Council shall elect five persons who will constitute the Hearing Committee. The remaining four persons will be qualified to serve as alternates in the event that one or more of the five members of the Committee are disqualified or unavailable in a particular case.

V. HEARING PROCEDURES FOR DISMISSAL BE/ BECAUSE OF ALLEGED MISCONDUCT OR NEGLECT OF DUTY

A. Proceedings to dismiss a member of the University instructional staff who has tenure or whose term appointment has not expired shall be initiated by the President only after he has made sufficient investigation to determine that reasonable grounds exist for the belief that the faculty member's dismissal would be justified on the grounds of misconduct or neglect of duty. During the course of this investigation, the President should ordinarily discuss the matter informally in personal conference with the faculty member in question. If the President discusses the matter with other officers of the University and with other members of the faculty, care should be taken to keep in confidence any accusations that may reflect adversely on the faculty member under investigation.

B. If a mutually satisfactory adjustment does not result from the informal discussions contemplated in paragraph A, the President may then commence formal proceedings to consider the question of dismissal by service of a written notice on the faculty member. The written notice shall include a statement informing the faculty member of the grounds proposed for his dismissal set forth in as much detail as is practicable, and of his right, if he so requests, to a hearing to be conducted by the faculty Hearing Committee at a time and place specified by the Committee.

The written notice shall also be accompanied by copies of or references to the applicable bylaws and other governing documents of the University establishing the faculty member's rights and by a summary of the evidence on which the charges are based and a preliminary list of witnesses to be called to testify at the hearing. The faculty member should reply in writing to the charges and specify whether he wishes a hearing.

C. If the Hearing Committee is unable to decide the case in favor of the faculty member on the basis of the charges made and the answers thereto, a hearing should be conducted at such time and place as is mutually agreeable to the Hearing Committee, the President, and the faculty member; but in case of dispute the Hearing Committee may set the time and place. The Hearing Committee, in consultation with the President and the faculty member, shall decide whether the hearing is to be conducted in public or private; but the hearing shall not be conducted in public over the objection of the faculty member. The President shall have the option of attendance during the hearing, and he may also designate an appropriate representative to develop the case before the Committee. The faculty member shall have the right to be assisted in preparation for the hearing and to be represented at the hearing by counsel of his own choice and/or by an adviser selected by him from among his colleagues. The faculty member or his counsel and the representative designated by the President shall have the right, within reasonable limits set by the Hearing Committee, to question all witnesses who testify orally. The faculty member shall have the right to be confronted at the hearing by all witnesses adverse to him, except as provided herein. Where unusual and urgent reasons move the Hearing Committee to permit the introduction of particular testimony taken outside the hearing, the identity of the witness, as well as his statements, nevertheless should be disclosed to the faculty member. Subject to these safeguards statements may, when necessary, be taken outside the hearing, and reported at the hearing. The President and his representative shall also assist the faculty member in securing the attendance of witnesses that he or his counsel wish to call to testify in his behalf at the hearing. All evidence, written and oral, shall be recorded by means furnished by the University. The burden shall be upon the President or his representative to prove by a preponderance of the evidence the existence of misconduct or neglect of duty justifying dismissal.

D. The Hearing Committee shall reach its decision in conference by a majority vote, on the basis of the hearing. The report of the Committee's decision shall be transmitted to the President and to the faculty member and, if the faculty member so requests, to the Chairman of the Academic Council. A copy of the transcript of the hearing also shall be sent to the President and the faculty member if either of them requests it. The Committee shall make explicit findings with respect to each of the grounds of dismissal presented, and it may support its conclusions and recommendations with a reasoned opinion. Written dissenting or concurring views may also be submitted by members of the Hearing Committee.

E. If the President deems consideration of the case by the Board of Trustees or the Executive Committee of the Board of Trustees to be appropriate, he shall submit to the Board or the Executive Committee the full report of the Hearing Committee along with his own recommendation. If the Board or the Executive committee wishes to consider taking action on the case, its review shall be based on the record of the hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing, or their representatives. The Board or the Executive Committee may also consult with the Hearing Committee and may, if it wishes, request the Hearing Committee to reconsider the case, taking account of objections stated by the Board or Executive Committee to the Hearing Committee's original report and recommendations. The Hearing Committee's report upon reconsideration would then be submitted to the President, the faculty member, and the Board or Executive Committee.

F. Suspension of the faculty member during the dismissal proceedings is justified only if serious harm to himself or to others is threatened by his continuance in the performance of his duties. Such suspension shall not interrupt the payment of the faculty member's salary and other compensation.

G. Except for announcements to inform interested persons of the time and place of the hearing and similar matters, public statements about the case shall be avoided in so far as possible until the proceedings have been completed. If a public announcement of the final decision is made by the President, it will include a statement of the Hearing Committee's recommendations.

February, 1965

APPENDIX V: Preventing Conflicts of Interest in Government-Sponsored Research at Universities

The Joint Statement of
The American Council on Education
and
The Council of the American Association of University Professors on Preventing Conflicts of Interest in Government-Sponsored Research at Universities

The increasingly necessary and complex relationships among universities, Government, and industry call for more intensive attention to standards of procedure and conduct in Government-sponsored research. The clarification and application of such standards must be designed to serve the purposes and needs of the projects and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

The Government and institutions of higher education, as the contracting parties, have an obligation to see that adequate standards and procedures are developed and applied; to inform one another of their respective requirements; and to assure that all individuals participating in their respective behalves are informed of and apply the standards and procedures that are so developed.

Consulting relationships between university staff members and industry serve the interests of research and education in the university. Likewise, the transfer of technical knowledge and skill from the university to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

I. CONFLICT SITUATIONS

A. **Favoring of outside interests.** When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between his Government-sponsored university research obligations and his outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

1. Undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;
2. Purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;
3. Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available. (This would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of Government-sponsored research results where there is significant additional work by the staff member independent of his Government-sponsored research);
4. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
5. Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the university and private organizations with which he has consulting or other significant relationships;
6. Acceptance of gratuities or special favors from private organizations with which the university does or may conduct business in connection with a Government-sponsored research proj-

ect, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

B. **Distribution of effort.** There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside consulting). The way in which he divides his effort among these various functions does not raise ethical questions unless the Government agency supporting his research is misled in its understanding of the amount of intellectual effort he is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his effort to the Government-sponsored research, or he agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his involvement is to be expected. Each university, therefore, should—through joint consultation of administration and faculty—develop procedures to assure that proposals are responsibly made and compiled with.

C. **Consulting for Government agencies or their contractors.** When the staff member engaged in in Government-sponsored research also serves as a consultant to a Federal agency, his conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's memorandum of May 2, 1963, *Preventing Conflicts of Interest on the Part of Special Government Employees*. When he consults for one or more Government contractors, or prospective contractors, in the same teachnical field as his research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

APPENDIX VI: Policy for the Use of University Facilities and Other Facilities Available

ALL FACILITIES

It shall be University practice not to discriminate in any way on the basis or race, creed, or national origin. This covers official activities sponsored, financed, and controlled by University personnel and campus organizations, whether these activities are held on or off campus. If they are held off campus, they must not utilize facilities where discrimination is practiced. Naturally, the University will not attempt to dictate to individual students, faculty members, or private groups how they should conduct their personal affairs.

UNIVERSITY FACILITIES

The provisions of this policy are applicable to all Duke University facilities and grounds in Durham, including off-campus locations but excluding the Duke Forest and the Duke University Hospital. Policies for the excepted areas are available from the Dean of the School of Forestry and the Vice President for Health Affairs, respectively.

A. Buildings and Structures: Priorities and Procedures

1. **Policy.** The regularly scheduled educational programs and other programs officially sponsored by the University Marshall and the University Schedule Committee shall have absolute priority of use for all facilities and grounds.

   After observing this priority, the facilities and grounds of the University may be made available to other users in the following order of priority:

   a. Users who are members of the University Community:
      (1) Academic departments, schools, and academic programs of the University.
      (2) Chartered and other officially recognized organizations and programs of the University. (A list of these organizations and programs will be maintained by the Committee on the Use of University Facilities.)
      (3) Faculty, administrators, students, and non-academic employees of the University.
   b. Users such as national or regional organizations in which the University maintains an official membership.
   c. Users who are not members of the Duke University community.

2. **Procedures.** Reservations should be made with the office responsible for the desired facility. Each office may adopt procedures appropriate to the facility for which it is responsible, subject to the approval of the Committee on the Use of University Facilities with regard to the maintenance of the priorities established in this policy. (A list of facilities and responsible offices may be obtained from the Office of the Business Manager of Duke University.)

   Reservations by individuals and by all users who are not members of the Duke University community must be approved in advance and in writing by the Committee on the Use of University Facilities.

   a. University Community Individuals. Many areas of the campus are available at various times on a non-reserved basis for use by individuals in the University community—study and lounge areas, recreational facilities, and open public areas of the campus, for instance. Reservations of such facilities by individuals or groups of individuals, however, must be approved by the Committee on the Use of University Facilities on the basis of a demonstrated benefit to the University community. Any use of University facilities or grounds by an individual or group of individuals for which a registration, admission, or other fee is charged or at which donations are received must be approved in advance and in writing by the Committee.
      EXCEPTION: No written permission is needed for areas of the University Union which are available for meetings and other activities providing there are no fees, donations, or other similar financial aspects.

b. Users who are not members of the University community. The University's facilities and grounds normally will not be made available to such users unless there is substantial participation in the event by members of the University community. Exceptions may be made where there is strong evidence that service to the Durham community is involved. Normally, commercial enterprises will not be afforded use of University facilities for profit-making or advertising purposes. Application for approval should be made to the Director of Special Events, Office of the President.

c. All reservations are contingent upon the following factors:

(1) Availability of the facility, given the priorities established by this policy.

(2) Ability of the University to provide support (equipment, security, etc.) required by the event, as determined by the Business Manager of the University.

(3) Ability of the event sponsors to meet all costs and financial liabilities of the event, including contracted fees, equipment rental, personnel, insurance, overhead, and all other costs, as determined by the Business Manager of the University.

(4) Approval of the University Calendar Office with regard to schedule conflicts.

(5) Ability of the organization or group to give assurances that the event will be conducted in an orderly manner.

B. OPEN AREAS

1. **Policy.** The grounds of the campus may be used only in a manner which does not hinder free access to and through such areas; is not detrimental to the academic, residential, or recreational environment of the area; and does not violate University policies and regulations or civil law.

2. **Procedures.**

a. Events and activities on the grounds of the campus must be approved in advance and in writing by the Community Council of the Woman's College for areas of the East Campus and by the West Campus Community Council for areas of the West Campus, or by the Special Events Office. Such events must meet the contingencies outlined above for reservations.

b. Any use of sound amplification equipment must be approved in writing by the Community Council of the Woman's College for areas of East Campus or the West Campus Community Council for areas of West Campus, or by the Special Events Office.

c. Any construction on the grounds of the campus for exhibits or other purposes must be approved in advance and in writing by the Educational Facilities Committee of the University.

c. Commercial activity on the grounds of the campus must be approved in advance and in writing by the Office of the University Counsel.

APPENDIX VII: Procedures for Approving New Degrees or Diplomas

The proposal for a new degree shall come to the faculty with (1) a full description of all requirements for the degree; (2) a statement that it is supported by the faculty (or faculties) of the schools or colleges concerned; (3) a recommendation, after investigation, from an *ad hoc* interdepartmental or interschool committee of appropriate members or from whatever group constitutes the executive committee of the University faculty; (4) a statement that the proposal bears the *nihil obstat* of the educational administration of the University; and (5) after consideration and approval by the Academic Council.

The proposal and the accompanying statements in writing, shall be in the hands of the members of the faculty at least thirty days before the faculty shall be asked to make a recommendation to the Board of Trustees on the proposed new or changed degree.

APPENDIX VIII: Travel Accident Insurance

It is the policy of the University to provide travel accident insurance for its faculty, and staff employees, to afford them financial protection while they are traveling on University business.

1. **Eligibility.** All officers of the University and its professional and administrative staff members are covered by this policy.

2. **Coverage.** Coverage is provided for eligible employees in an amount of up to $50,000 in the event of injuries which result in death, dismemberment or loss of sight and for up to $5,000 for related medical expenses, provided the injuries sustained (a) occur while the employee is traveling on University business and (b) are in consequence of and occur during the course of the trip, the destination of which requires the employee to travel outside the city in which he is regularly employed or in which he lives. For this purpose, "University business" is used to mean an assignment by or with the authorization of the University for the purpose of furthering the business of the University or a trip made by invitation of another institution or person because of the position held by the employee with the University.

Coverage is *not* provided (a) while the employee is on vacation, leave of absence (except sabbatical) or commuting between his residence and his place of employ or (b) for any loss resulting from suicide, disease or medical/surgical treatment thereof, declared or undeclared war, racing, endurance tests, or participation in any speed or performance contest.

3. **Effective Duration of Coverage.** The policy is effective for the duration of any period of covered travel commencing when the employee leaves his residence or place of employment, whichever occurs last, and ending upon his return to his residence or place of employment, whichever occurs first. For this purpose, any loss which occurs within 100 days after the date of accident from injuries sustained during a covered accident shall be deemed to have occurred during the effective duration of coverage.

4. **Contributions.** No contribution or application for coverage is required from any employee. Coverage is automatic and the University pays in full all premiums and administrative costs of the program.

This program will obviate the necessity for individuals to take out personal accident insurance for each trip, and expenses for flight insurance are not reimbursable.

APPENDIX IX: Patent Agreement

In order that Duke University may carry out its contractual obligations relating to sponsored research, I hereby agree to be bound by the patent regulations or provisions of any contract or agreement between Duke University and any person, corporation, or other agency sponsoring the particular research project on which I am engaged under the auspices of Duke University.

Date ..... Signed .....

APPENDIX X: Policy on Duke Homesites

From time to time, the University subdivides and develops tracts of land near the campus as homesites. Lots are sold at cost and may be purchased on the installment plan by a down payment of at least $1,000 followed by monthly payments to the University of a minimum of $75. To assist in home construction, the University upon application will subordinate its claim against a lot being purchased under the monthly payment plan to a mortgage in favor of the lending agency financing the construction.

The following conditions apply to each purchase of a homesite: (1) Construction of a home containing at least 1,600 square feet of contiguous living space must be initiated within four years of purchase. If this condition is not fulfilled, the purchaser must return the lot to the University and his purchase money is refunded. (2) The second condition is written into the deed in this language:

> By the acceptance of this deed, the parties of the second part hereby covenant . . . and agree . . . that upon receipt of a bona fide offer to buy this lot which they are willing to accept, they will give written notice thereof, including the name and address of the offeror and the price and terms of the offer, to party of the first part, which party shall have the exclusive option for a period of twenty (20) days from the date of receipt of such notice to purchase the lot at the same price and upon the same terms of said offer. Such notice shall be by registered or certified mail addressed to the Vice President for Business and Finance, Duke University, Durham, North Carolina. This covenant shall run with the land and shall be binding upon parties of the second part, their successors, and assigns during the lives of said parties of the second part and the life of the survivor; provided, that if said lot is mortgaged as security for the payment of a debt, this covenant shall in no way affect the rights of the holder of the indebtedness or a purchaser at a foreclosure sale under such mortgage.

In all other respects, the homesites are freely transferable.

Administration of the homesite plan is under the general supervision of the Homesites Administration Committee, consisting of the Chancellor, the Provost, the Vice Provost and Dean of Faculty, the Vice President and Treasurer, and the Chairman of the Academic Council Committee on Faculty and Staff Housing. This Committee is governed by the following rules:

1. Eligibility to participate in the homesite plan is limited to full-time members of the faculty and to certain full-time staff members. Full-time faculty members with tenure are immediately eligible. Other full-time faculty members are eligible after two years.

2. An eligible person may file a statement of interest with the business office. From the statements filed, a list of names in chronological order is maintained and as lots open, the persons whose names are on the list are given a choice as their names appear. A person may forgo his choice and still maintain his position on the list. The provisions of this paragraph apply not only to large subdivisions but to single lots available, for example, when a lot is returned to the University.

3. From time to time, it is necessary for the Homesite Administration Committee to step out of the "first come, first served" basis order.

While the homesite plan is expected to continue indefinitely, the University reserves the right to discontinue or modify it at any time.

APPENDIX XI: General Policies and Regulations —Duke University

A brochure containing general policies and regulations of the University is published periodically and distributed to all faculty members. Copies of the current edition are available from the Office of the Assistant Provost for Academic Administration and are on file in the Perkins Library and the Woman's College Library.

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